PERSHING STANDARD FILE LAYOUTS

GENERAL INFORMATION

File Frequency:	Daily (Update - ACCT) / Weekly; Monthly; On demand (Refresh – ACCF)
Record Size:	750 characters
Form Name:	Production - ACCT (Update File) / ACCF (Refresh File)
	XAT/Test – 4ACC (Update File from Test Region) / 4CCF (Refresh File from Test Region)

DESCRIPTION

The Customer Account Information files (ACCT and ACCF) are created from the Name and Address database, which is updated on a nightly basis. ACCF is a full or refresh file which includes all of the accounts, while ACCT is an update file which only shows accounts added or updated that day. The addition of account(s) to standard file destination is NOT considered an add or change to the account(s) and will NOT produce a subsequent record on the ACCT file. In addition to being configured on the standard file destination, accounts must be added/updated in Account Services that day to create a record on the ACCT file.

Note: ACCF is only available weekly, monthly, or on demand; not daily. The customization of data received in this file can be done by selecting any or all sections defined below.

The Main Account Information (Records A-F, W, and 4) is the only segment of the file that is always sent and the minimum that can be transmitted. These records focus primarily on account-level information, as opposed to specific account holders or participants associated with the account. Records A and B include generic brokerage information, instructions, investment objectives, signatory information, USA PATRIOT Act information, and Institutional ALERT Direct information. Records A and B will always be sent for each account.

Records C to F contain the various addresses associated with the account and will be sent based on the number of account addresses. Record W contains additional USA PATRIOT Act information, and account-level telephone numbers. Record 4 contains Account Level KYC Investment Knowledge, information specific to Bank Custody accounts as well as AML Risk Ratings.

Record 5 contains Customer Due Diligence (CDD) information. This record is optional and must be selected.

Note: *Expanded account holder and participant information is now available within the Holder Information file (HLDR and HLDU). It is strongly recommended that clients refer to the HLDR/U file moving forward as the Account Holder/Participant Information contained within Records G, H, X, M and 7 will be no longer be available in a future state.*

The Account Holder/Participant Information (Records G, H, X, M and 7) contain address, phone, employment, basic Books & Records, USA PATRIOT Act, KYC Investment Knowledge and Bank Custody/additional Trust information. There can be up to 15 groups of records per account. The G, H, X, M and 7 records will be sent for each account holder/participant where applicable. This segment of records is optional and must be selected.

Records I, J and K contain the Custom Data fields and PONA Supplemental information. Record I includes custom fields 1-10, Record J includes custom fields 11-15 which will be sent only if there are 11 or more

custom fields or if PONA Supplemental data exists. If there are PONA Supplemental records, but no custom fields, both Records I and J will be sent; Record I will be empty. Record K allows for multiple instances to accommodate up to 100 custom fields in total. This segment of records is optional and must be selected.

Record L contains Advisory Account information. This record is optional and must be selected.

Record N contains Business Party referential information that can be cross-referenced with the Business Party Information files (BPFD and BPFF) using the Business Party ID (BPID). The BPID is included in the key on all records of the Business Party Information files (BPFD and BPFF) file. Record N is repeatable. Its secondary sequence number can be found in position 745; Record O has been removed. This record is optional and must be selected.

Record P contains Account Settlement instruction information. This record is optional and must be selected.

Records R and S contains Retirement Account information and Records T to V contains Beneficiary information. Record R will always be sent for retirement accounts if retirement records are requested. Record S will be sent only if the participant has three or more phone numbers. There can be up to 20 beneficiaries (10 primary and 10 contingent). Records T and U will be repeated per beneficiary. Record U is sent only if there are more than three phone numbers for the beneficiary and/or there is at least one beneficiary trustee. Record V is present only if a beneficiary is coded as a trustee and there are two or more beneficiary trustees. A beneficiary can have a maximum of six beneficiary trustees. This segment of records is optional and must be selected.

Note: If data is not available or not applicable, fields will be populated with spaces ("ᴮ"). All Transaction Type code fields and their variations will be spaces on ACCF.

This file contains header and trailer records that confirm the beginning and end of the file, the date it was created, and the file's total number of records.

New, upcoming fields/records and changes to existing fields are highlighted in blue.

The symbol "ᴮ" is used on our standard files to represent spaces.

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF ƀ ƀ ƀ ƀ ƀ ƀ PERSHING ƀ" (beginning of Pershing file)
019-036	X(18)	AN	Literally "CUSTOMER ƀ ACCT ƀ INFO"
037-046	X(10)	AN	Literally " ƀ DATA ƀ OF ƀ ƀ"
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " ƀ TO ƀ REMOTE ƀ"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally " ƀ BEGINS ƀ HERE ƀ ƀ"
086-095	X(10)	AN	RUN DATE = "MM/DD/CCYY"
096-096	X(01)	AN	Not Used
097-104	X(08)	AN	RUN TIME = "HH:MM:SS"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	REFRESHED or UPDATED; literally "REFRESHED" or "UPDATED ƀ ƀ"
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "A"; indicates the end of the header record

DETAIL RECORD A: MAIN ACCOUNT INFORMATION

RECORD A: MAIN ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	TRANSACTION TYPE; values include: "X" or " ƀ "= Unchanged account "A" = Add new account "C" = Change to existing record
042-042	X(01)	AN	AUTO-TITLED or USER-TITLED ACCOUNT; values include: "F" = Auto-Titled "S" = User-Titled (opened in PONA or through conversion)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
043-043	X(01)	AN	ACCOUNT TYPE CODE; values include: "C" = DVP/RVP "R" = Retail "T" = Retirement "3" = Retail Third Party as Custodian "4" = 401(k) Self-Directed
044-047	X(04)	AN	REGISTRATION TYPE; for Account Services only; see Appendix Q for values
048-048	X(01)	AN	*Reserved*
049-049	X(01)	AN	NUMBER OF ACCOUNT TITLE LINES IN REGISTRATION LINES; values 1, 2, 3, 4
			For additional account registration information, see Account Description field in Record C position 535
050-081	X(32)	AN	ACCOUNT REGISTRATION LINE 1
082-113	X(32)	AN	ACCOUNT REGISTRATION LINE 2
114-145	X(32)	AN	ACCOUNT REGISTRATION LINE 3
146-177	X(32)	AN	ACCOUNT REGISTRATION LINE 4
178-209	X(32)	AN	ACCOUNT REGISTRATION LINE 5
210-241	X(32)	AN	ACCOUNT REGISTRATION LINE 6
			JNTN, TODJ, CUST, 529C, TRST, 529T, NPLT, AND CPPS INFORMATION If Registration Type in position 044-047 is not one of the above values, then positions 242-262 will not be populated
			JNTN AND TODJ ACCOUNT INFORMATION
242-242	X(01)	AN	US TENANCY INDICATOR; values include: "N" = No (not a US Tenant) "Y" = Yes (is a US Tenant)
243-243	X(01)	AN	MARRIED INDICATOR; values include: "N" = No (is not married) "Y" = Yes (is married) "▮" = Not applicable
244-245	X(02)	AN	TENANCY STATE; see Appendix Q for values
246-249	X(04)	AN	JOINT TENANCY CLAUSE; values include: "CMPP" = Community Property "CMRS" = Community Property with Right of Survivorship "JTTN" = Joint Tenants with Right of Survivorship "TNCM" = Tenants in Common "TNET" = Tenants by Entirety "USFT" = USUFRUCT "▮▮▮▮" = Not applicable
250-257	9(08)	N	AGREEMENT EXECUTION DATE, in CCYYMMDD format
258-259	X(02)	AN	NUMBER OF TENANTS
260-262	X(03)	AN	Not Used
			CUSTODIAN ACCOUNT INFORMATION (CUST, 529C)
242-243	X(02)	AN	STATE GIFT GIVEN; see Appendix Q for values

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POSITION	PICTURE	TYPE	DESCRIPTION
244-251	9(08)	N	DATE GIFT GIVEN, in CCYYMMDD format
252-253	9(02)	N	AGE TO TERMINATE
254-261	9(08)	N	MINOR'S BIRTHDATE, in CCYYMMDD format
262-262	X(01)	AN	MANNER OF GIFT; values include: "C" = Created by Gift "E" = Exercise by Appointment "F" = Transfer by Fiduciary "O" = Transfer by Obligor "R" = Trust "T" = Transfer by Fiduciary Order (legacy value for existing Accounts) "W" = Will "◼" = Not applicable
TRUST ACCOUNT INFORMATION (TRST, 529T, NPLT)			
242-242	X(01)	AN	TYPE OF TRUST; values include: "A" = Qualified Domestic Trust "C" = Charitable Trust "D" = Defective Trust "E" = Estate Trust "F" = Family Trust "G" = Generation Skipping Trust "I" = Irrevocable Trust "L" = Living Trust "N" = Insurance Trust "P" = Special Needs Trust "Q" = QTIP or QDOT Trust "R" = Revocable Trust "S" = Statutory Trust "T" = Testamentary Trust "V" = Irrevocable Living Trust "◼" = Not applicable
243-250	9(08)	N	DATE TRUST ESTABLISHED, in CCYYMMDD format
251-258	9(08)	N	AMENDED DATE, in CCYYMMDD format
259-259	X(01)	AN	TRUSTEE INDEPENDENT ACTION; values include: "N" = Cannot act independently "Y" = Can act independently
260-260	X(01)	AN	TRUSTEES NATURAL PERSONS INDICATOR, effective Q1-2023; values include: "Y" = All trustees are natural persons "N" = Not all trustees are not natural persons "◼" = N/A

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
261-261	X(01)	AN	BENEFICICARIES OF TRUST NATURAL PERSONS, effective Q1-2023; values include: "Y" = All trust beneficiaries are natural persons "N" = Not all trust beneficiaries are natural persons "▉" = N/A
262-262	X(01)	AN	TRUST IS DULY ORGANIZED AND ITS TERMINATION PROVISION COMPLIES WITH APPLICABLE LAW INDICATOR, effective Q1-2023; values include: "Y" = Trust duly organized and termination provision complies with law "N" = Trust not duly organized and/or termination provision does not comply with law "▉" = N/A
			CPPS ACCOUNT INFORMATION
242-249	9(08)	N	PLAN ESTABLISHED DATE, in CCYYMMDD format
250-257	9(08)	N	PLAN AMENDMENT DATE, in CCYYMMDD format
258-262	X(05)	AN	Not Used
			ACCOUNT OPEN/UPDATE/CLOSE DATES
263-270	9(08)	N	DATE ACCOUNT OPENED, in CCYYMMDD format
271-278	9(08)	N	DATE ACCOUNT INFORMATION UPDATED, in CCYYMMDD format
279-279	X(01)	AN	ACCOUNT STATUS INDICATOR; values include: "O" = Open "P" = Pending Close "C" = Closed
280-287	9(08)	N	PENDING CLOSED DATE, in CCYYMMDD format
288-295	9(08)	N	DATE ACCOUNT CLOSED, in CCYYMMDD format
296-303	9(08)	N	CLOSING NOTICE DATE, in CCYYMMDD format, effective Q2 2023
304-311	9(08)	N	ACCOUNT RE-ACTIVATED DATE, in CCYYMMDD format
312-319	9(08)	N	DATE ACCOUNT RE-OPENED, in CCYYMMDD format
			INSTRUCTIONS
320-320	X(01)	AN	PROCEEDS; values include: "1" = Remit (send) "2" = Hold "3" = COD (hold)
321-321	X(01)	AN	TRANSFER INSTRUCTIONS; values include: "1" = Register with Issuer "2" = Transfer to customer and hold in safekeeping "3" = COD Street Name "4" = Hold in Street Name
322-322	X(01)	AN	INCOME INSTRUCTIONS; values include: "2" = Pay Monthly (send) "3" = Credit Account (hold) "4" = COD

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
323-324	X(02)	AN	NUMBER OF CONFIRMS FOR THIS ACCOUNT
325-326	X(02)	AN	NUMBER OF STATEMENTS FOR THIS ACCOUNT
			INVESTMENT OBJECTIVE DETAILS
327-327	X(01)	AN	INVESTMENT OBJECTIVE TRANSACTION CODE; values include: "X" or "ʚ" = Unchanged record "A" = Added record "C" = Changed record
328-353	X(26)	AN	COMMENTS; free-form text
354-368	X(15)	AN	EMPLOYER SHORTNAME; previously "EMPLOYER"
369-377	X(09)	AN	EMPLOYER'S CUSIP
378-386	X(09)	AN	EMPLOYER'S SYMBOL
387-387	X(01)	AN	MARGIN PRIVILEGES REVOKED; values include: "N" = No "Y" = Yes "ʚ" = Not applicable
388-395	9(08)	N	STATEMENT REVIEW DATE, in CCYYMMDD format
396-396	X(01)	AN	MARGIN PAPERS ON FILE; applies to brokerage accounts only; values include: "Y" = Margin Papers on File "N" = No Margin Papers on File
397-397	X(01)	AN	OPTION PAPERS ON FILE; values include: "Y" = Option Papers on File "N" = No Option Papers on File
398-398	X(01)	AN	For Pershing Internal Use Only
399-399	X(01)	AN	GOOD FAITH MARGIN; values include: "Y" = Account is good faith margin account "N" = Account is not good faith margin account "ʚ" = Not applicable
			DISCRETION
400-400	X(01)	AN	INVESTMENT PROFESSIONAL DISCRETION GRANTED; values include: "N" = No "Y" = Yes
401-401	X(01)	AN	INVESTMENT ADVISOR DISCRETION GRANTED; values include: "N" = No "Y" = Yes
402-402	X(01)	AN	THIRD PARTY DISCRETION GRANTED; values include: "N" = No "Y" = Yes
403-417	X(15)	AN	THIRD PARTY NAME; free-form text
418-418	X(01)	AN	RISK FACTOR CODE; Pershing default values below; values include: "L" = Low "M" = Moderate (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"H" = High
			"S" = Speculative
			Additional FINRA recommended values supported by Pershing; contact the Account Manager for more information:
			"C" = Conservative
			"R" = Moderately conservative
			"E" = Moderate
			"I" = Moderately aggressive
			"A" = Significant Risk
			"ƀ" = Not available or populated
419-422	X(04)	AN	INVESTMENT OBJECTIVE CODE; customer- or Pershing-defined; values include:
			"Iƀƀƀ" = Income
			"Lƀƀƀ" = Long-Term Growth
			"Sƀƀƀ" = Short-Term Growth
			"ƀƀƀƀ" = Not applicable
		OPTION TRADING	
423-423	X(01)	AN	OPTION - EQUITIES; values include:
			"N" = No
			"Y" = Yes
424-424	X(01)	AN	OPTION - INDEX; see position 423 for values
425-425	X(01)	AN	OPTION - DEBT; see position 423 for values
426-426	X(01)	AN	OPTION - CURRENCY; see position 423 for values
		OPTION LEVELS; highest level will be populated only	
427-427	X(01)	AN	OPTION LEVEL 1; values include:
			"O" = Covered Only
			"P" = Covered and Protective Puts
			"ƀ" = Not applicable
428-428	X(01)	AN	OPTION LEVEL 2; values include:
			"L" = Covered/Long
			"ƀ" = Not applicable
429-429	X(01)	AN	OPTION LEVEL 3; values include:
			"S" = Covered/Long/Spreads
			"ƀ" = Not applicable
430-430	X(01)	AN	OPTION LEVEL 4; values include:
			"A" = All
			"ƀ" = Not applicable
431-440	9(10)	N	OPTION - CALL LIMITS
441-450	9(10)	N	OPTION - PUT LIMITS
451-460	9(10)	N	OPTION - TOTAL LIMITS OF PUTS AND CALLS

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			BROKERAGE INFORMATION
461-461	X(01)	AN	NON-US DOLLAR TRADING; field also in Record W position 042; values include: "Y" = Account approved for trading in non-US Dollars "N" = Not eligible to trade non-US Dollars (default)
462-464	X(03)	AN	Not Used (Reserved for future use)
465-465	X(01)	AN	NON-CUSTOMER INDICATOR; values include: "▮" = Customer Account "N" = Firm Account "P" = Principal/Office Account "S" = Commission Account
466-467	X(02)	AN	THIRD PARTY FEE INDICATOR; values include: "Y▮" = Yes "N▮" = No
468-475	9(08)	N	THIRD PARTY FEE APPROVAL DATE, in CCYYMMDD format
476-476	X(01)	AN	INTERMEDIARY ACCOUNT INDICATOR; values include: "Y" = Account is an Intermediary Account "N" = Not applicable; account is not an Intermediary Account
477-478	X(02)	AN	COMMISSION SCHEDULE; values include: "▮ ▮" = Standard "C▮" = Discount
479-483	X(05)	AN	GROUP INDEX
484-486	X(03)	AN	MONEY MANAGER ID; Money Manager code from old Account Mnemonic field
487-489	X(03)	AN	MONEY MANAGER OBJECTIVE ID; Investment Objective code from old Account Mnemonic field
490-494	X(05)	AN	DTC ID CONFIRM NUMBER FOR NON-COD ACCOUNT
495-503	X(09)	AN	CAPS MASTER MNEMONIC; legacy field; cannot be updated
504-511	X(08)	AN	EMPLOYEE ID
512-512	X(01)	AN	PRIME BROKER/FREE FUND INDICATOR; values include: "▮" = Not applicable "B" = Pershing LLC as Prime Broker "C" = Broker/Dealer Credit "F" = Free Fund Letter (COD accounts only) "T" = Broker/Dealer Trust (COD accounts only) "X" = Execution for Prime Broker (COD accounts only)
513-513	X(01)	AN	FEE BASED ACCOUNT INDICATOR; values include: "Y" = Yes; account is Fee Based "N" = No; account is not Fee Based
514-516	X(03)	AN	Pershing Internal Use Only; formerly BILLING TYPE field
517-524	9(08)	N	FEE BASED TERMINATION DATE, in CCYYMMDD format
525-525	X(01)	AN	Not Used; formerly EQUIFAX/CREDIT CHECK INDICATOR

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
526-557	X(32)	AN	PLAN NAME; for Self-Directed 401(k) and CPPS accounts
558-589	X(32)	AN	SELF-DIRECTED 401(k) ACCOUNT TYPE
590-591	X(02)	AN	PLAN TYPE; for Self-Directed 401(k) and Retirement accounts; values can be customer-defined for Self-Directed 401(k) accounts; see Appendix D for values
592-601	X(10)	AN	PLAN NUMBER; for Self-Directed 401(k) and CPPS accounts
602-605	X(04)	AN	EMPLOYEE/EMPLOYEE RELATIVE INDICATOR; values include: "■ ■ ■ ■" = Not applicable "E■ ■ ■" = Employee "ER■ ■" = Employee Related
606-623	9(09)v9(09)	N	COMMISSION PERCENT DISCOUNT; actual % discounted
624-624	X(01)	AN	BLOCK MUTUAL FUND FEES; values include: "D" = Use default set at the Introducing Broker/Dealer (IBD) Level (redefined) "B" = Block MF Fees when IBD default is not to block "N" = Do not Block MF Fees when the IBD level default is to block "C" = Credit Mutual Fund Fee to Customer Account "■" = No value entered/Not applicable
			NEW ACCOUNT FORM SIGNATORY INFORMATION
625-639	X(15)	AN	NAME OF INVESTMENT PROFESSIONAL WHO SIGNED NEW ACCOUNT FORM
640-647	9(08)	N	DATE INVESTMENT PROFESSIONAL SIGNED NEW ACCOUNT FORM, in CCYYMMDD format
648-662	X(15)	AN	NAME OF PRINCIPAL WHO SIGNED NEW ACCOUNT FORM
663-670	9(08)	N	DATE PRINCIPAL SIGNED NEW ACCOUNT FORM, in CCYYMMDD format
			ACCOUNT LEVEL INFORMATION FOR USA PATRIOT ACT
671-671	X(01)	AN	POLITICALLY EXPOSED PERSON INDICATOR; field also in Record W position 062; values include: "Y" = Politically Exposed Person "N" = Not a Politically Exposed Person "U" = Unknown
672-672	X(01)	AN	PRIVATE BANKING ACCOUNT INDICATOR; values include: "Y" = Private Banking Account "N" = Not a Private Banking Account "U" = Unknown
673-673	X(01)	AN	FOREIGN BANK ACCOUNT INDICATOR; field also in Record W position 154; values include: "Y" = Account is for a foreign bank "N" = Account is not for a foreign bank "U" = Unknown or not applicable
674-677	X(04)	AN	INITIAL SOURCE OF FUNDS; values include: "ALMY" = Alimony "AREC" = Accounts Receivable (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"ASAV" = Accumulated Savings
			"EINC" = Income from Earnings
			"FDIN" = Fund Investors
			"FECM" = Fees/Commissions
			"GAME" = Lottery/Gaming Proceeds
			"GIFT" = Gift
			"INHT" = Inheritance
			"INPR" = Investment Proceeds
			"INSR" = Insurance Proceeds
			"LSET" = Legal Settlement
			"PRAS" = Proprietary Assets
			"RDNA" = RVP/DVP; not applicable
			"REPC" = Retained Earnings/Paid in Capital
			"RINC" = Rental Income
			"RSAV" = Pension/IRA/Retirement Savings
			"RLTN" = Spouse/Parent
			"ROLL" = Rollover
			"SALE" = Sale of Business
			"SORE" = Sale of Real Estate
			"OTHR" = Other (values, if populated, in Record B position 287-316)
			"UNKN" = Unknown
678-681	X(04)	AN	USA PATRIOT ACT EXEMPT REASON; values include:
			"NOEX" = Not Exempt
			"CONV" = Conversion
			"ERSA" = ERISA
			"PEAC" = Pre-existing Account
			"PTRD" = Publicly Traded Company
			"RBNK" = Regulated Bank
			"GVTI" = Government Institution
			"UNKN" = Unknown
			"IBEX" = IBD Exempt
682-683	X(02)	AN	PRIMARY COUNTRY OF CITIZENSHIP; see Appendix Q for values
684-685	X(02)	AN	COUNTRY OF RESIDENCE; see Appendix Q for values
686-693	9(08)	N	BIRTH DATE, in CCYYMMDD format
694-694	X(01)	AN	AGE-BASED FUND ROLL EXEMPT INDICATOR; values include:
			"Y" = Exempt
			"N" = Not Exempt
			"▯" = Not applicable or available
695-695	X(01)	AN	MONEY FUND REFORM - RETAIL; values include:
			"Y" = Yes
			"N" = No
			"▯" = Not applicable or available

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
696-696	X(01)	AN	TRUSTED CONTACT STATUS; values include: "C" = Collected but not stored at Pershing "D" = Trusted contacts declined "P" = Collected and stored at Pershing "▮" = Not applicable or not yet populated
697-700	X(04)	AN	REGULATORY ACCOUNT TYPE CATEGORY, effective Q4 2022; values include: "PTAA" = Personal Trust and Agency "EBDC" = Employee Benefit Defined Contribution "EBDB" = Employee Benefit Defined Benefit "OEBR" = Other employee benefit and retirement related accounts (cont.)
			"CTAY" = Corporate Trust and Agency "IMIA" = Investment Management and Investment Advisory Accounts "FETA" = Foundation & Endowment Trust and Agency Accounts "OTFA" = Other Fiduciary Accounts "TLFA" = Total Fiduciary Accounts "CSKA" = Custody & Safekeeping Accounts "FHFO" = Fiduciary Accounts Held in Foreign Offices "IRHS" = Individual Retirement Accounts, Health Savings Accounts and other Similar Accounts "▮▮▮▮" = Not applicable
701-701	X(01)	AN	ACCOUNT MANAGED BY TRUST COMPANY INDICATOR, effective Q4 2022; values include: "Y" = Account is managed by Trust Company "N" = Account is not managed by Trust Company "▮" = Unknown or not applicable
702-703	X(02)	AN	VOTING AUTHORITY, effective Q3 2022; Trust Bank voting authority on proxies for securities held in an account; values include: "SH" = Shared Trust Bank voting authority on proxies for securities held in an account "SO" = Sole Trust Bank voting authority on proxies for securities held in an account "NO" = None "▮▮" = Not applicable
704-709	X(06)	AN	Internal Use; IMS/Prime Broker Code
710-711	X(02)	AN	Internal Use; Payout Code
712-714	X(03)	AN	Internal Use; Trader Number
715-718	X(04)	AN	Internal Use; Product Code
719-722	X(04)	AN	CUSTOMER TYPE; values are customer-defined
723-726	X(04)	AN	Internal Use; Account Plan Type
727-730	X(04)	AN	Internal Use; Promotion Type
731-734	X(04)	AN	Internal Use; Investment Objective
735-738	X(04)	AN	Internal Use; Investment Objective

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
739-742	X(04)	AN	Internal Use; Investment Objective
743-746	X(04)	AN	FULFILLMENT METHOD; values include: "BPKG" = Branded Package "ESIG" = eSignature (paperless) "GPDF" = Generate PDF "SGNX" = SIGNiX "ꞵꞵꞵꞵ" = Not applicable
747-747	X(01)	AN	CREDIT INTEREST INDICATOR; values include: "Y" = Earns Credit Interest "N" = Does not earn Credit Interest "ꞵ" = Not applicable or available
748-748	X(01)	AN	AMA INDICATOR; values 1, 2, and 4 represent active Corestone or proprietary bank AMA products; values include: "1" = AMA Cash Account "2" = AMA Margin Account "3" = Pending AMA "4" = Basic AMA "5" = Pending Basic AMA "7" = Sweep "8" = Banklink "0" = Previously active sweep status changed to inactive, closed, or purged "P" = Pending Resource Checking "R" = Resource Checking "ꞵ" = Not applicable
749-749	X(01)	AN	For Pershing Internal Use Only
750-750	X(01)	AN	Literally "X"; indicates the end of record A

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B: MAIN ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			TAX INFORMATION
041-041	X(01)	AN	TAX ID TYPE; values include: "A" = Applied for "E" = Applied for expired "F" = WP-EIN "I" = ITIN "N" = Non-US "Q" = QI-EIN "S" = Social Security Number "T" = Tax ID Number (EIN) "W" = WT-EIN "▆" = Not populated or applicable
042-050	X(09)	AN	TAX ID NUMBER
051-058	9(08)	N	DATE TAX ID APPLIED FOR, in CCYYMMDD format
059-060	X(02)	AN	W-8-W-9 INDICATOR; values include: "W8" = W-8 "W9" = W-9 "▆ ▆" = Not applicable
061-068	9(08)	N	W8-W-9 DATE (DATE SIGNED), in CCYYMMDD format
069-076	9(08)	N	W-8-W-9 EFFECTIVE (RECEIVED) DATE, in CCYYMMDD format
077-080	X(04)	AN	W-8-W-9 DOCUMENT TYPE; values include: "W8▆ ▆" = Foreign Tax Form W-8 "W8BE" = Foreign Status Beneficial Owner "W8CO" = W-8 IBD "W8D▆" = Original IRS Form W-8 "W8E▆" = Expired Foreign Tax Form "W8EC" = Foreign with effectively connected U.S. Business/Trade "W8ET" = W-8BEN-E (Entity) "W8EX" = Foreign Status for Government/Organization "W8IM" = Foreign Status for Intermediary (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"W8IT" = W-8-BEN (Individual)
			"W8MT" = W-8-IMY (Intermediary)
			"W9▮ ▮" = U.S. Tax Form W-9
			"W9DT" = Add W-9 Per Tax Reporting
			"W9WH" = W-9 but Subject to Backup Withholding
081-081	X(01)	AN	TAX STATUS; values include:
			"▮" = Non-Exempt
			"B" = Exempt
			"A" = Approved Exempt Retail or Exempt COD accounts
082-082	X(01)	AN	B NOTICE REASON CODE; values include
			"1" = Missing TIN
			"2" = Not Currently Issued TIN
			"3" = Incorrect Name/TIN
			"5" = TIN/Name without Backup Withholding
			"6" = TIN/Name with Backup Withholding
			"▮" = Not applicable
083-102	X(20)	AN	FIRST B NOTICE STATUS; values include:
			"ACTIVE"
			"INACTIVE"
			"SATISFIED"
103-110	9(08)	N	DATE FIRST B NOTICE STATUS ISSUED/ENFORCED, in CCYYMMDD format
111-118	X(08)	AN	Not Used
119-126	9(08)	N	DATE FIRST B NOTICE STATUS SATISFIED, in CCYYMMDD format
127-146	X(20)	AN	SECOND B NOTICE STATUS; see position 083-102 for values
147-154	9(08)	N	DATE SECOND B NOTICE STATUS ISSUED/ENFORCED, in CCYYMMDD format
155-162	X(08)	AN	Not Used
163-170	9(08)	N	DATE SECOND B NOTICE STATUS SATISFIED, in CCYYMMDD format
171-190	X(20)	AN	C NOTICE STATUS; see position 083-102 for values
191-198	9(08)	N	DATE C NOTICE STATUS ISSUED/ENFORCED, in CCYYMMDD format
199-206	9(08)	N	DATE C NOTICE STATUS SATISFIED, in CCYYMMDD format
			OLD ACCOUNT INFORMATION
207-226	X(20)	AN	OLD ACCOUNT NUMBER
227-234	9(08)	N	ORIGINAL ACCOUNT OPEN DATE, in CCYYMMDD format
			LARGE TRADER INFORMATION
235-247	X(13)	AN	UNIDENTIFIED LARGE TRADER ID; can be spaces
248-249	X(02)	AN	Not Used
250-251	X(02)	AN	LARGE TRADER TYPE CODE; values include:
			"LT" = Flagged as Large Trader
			"UT" = Flagged as Unidentified Large Trader
			"▮ ▮" = Not applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
252-259	9(08)	N	LARGE TRADER TYPE LAST CHANGE DATE, in CCYYMMDD format
260-272	X(13)	AN	Not Used
273-286	X(14)	AN	For Pershing Internal Use Only
287-316	X(30)	AN	INITIAL SOURCE OF FUNDS; if Record A position 674 is OTHR, free form
317-317	X(01)	AN	FINANCE AWAY; values include: effective January 2023 "Y" = Yes "N" = No "M" = Manual "U" = N/A
318-325	9(08)	N	ACCOUNT FUNDING DATE, in CCYYMMDD format, effective Q2 2023
326-332	X(07)	AN	Not Used
			STATEMENT CURRENCY INFORMATION
333-335	X(03)	AN	STATEMENT CURRENCY CODE; values include: "AUS" = Australian Dollar "BRL" = Brazilian Real "CAD" = Canadian Dollar "CHF" = Swiss Franc "CNY" = Chinese Yuan Renminbi "EUR" = Euro "GBP" = British Pound "HKD" = Hong Kong Dollar "JPY" = Japanese Yen "MXN" = Mexican Peso "SGD" = Singapore Dollar "USD" = United States Dollar
336-338	X(03)	AN	FUTURE STATEMENT CURRENCY CODE; see position 333-335 for values
339-346	9(08)	N	FUTURE STATEMENT CURRENCY CODE DATE, CCYYMMDD format
			SPECIAL ACCOUNT-LEVEL ROUTING CODES
347-349	X(03)	AN	ACCOUNT-LEVEL ROUTING CODE; values include: "ADV" = Formerly Advent, no longer used "APL" = Security APL "BCS" = Security APL - Individual Strategies "BNY" = BNY Trust - Lockwood "CGT" = Congruent Solutions "CON" = Concord Equity "DVP" = BNY Trust - APL "FOL" = Advisor Directed Trading "FQI" = CUSO/Fundquest for APL "HSA" = Bank Health Savings Account "LKW" = Lockwood business going to Lockwood "MAT" = Matrix "MTV" = Metavante Trust Service.　　　　　. (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"PMR" = WP Stewart
			"SHR" = Lockwood Shared Services
			"WAD" = World Advisors
			"ƀ ƀ ƀ" = No Value Entered/Not applicable
350-352	X(03)	AN	ACCOUNT-LEVEL ROUTING CODE; see position 347-349 for values
353-355	X(03)	AN	ACCOUNT-LEVEL ROUTING CODE; see position 347-349 for values
356-358	X(03)	AN	ACCOUNT-LEVEL ROUTING CODE; see position 347-349 for values
359-359	X(01)	AN	For Pershing Internal Use Only
360-360	X(01)	AN	SELF-DIRECTED INDICATOR; values include: "Y" = Self-directed account "N" = Not a self-directed account "ƀ" = Not applicable
361-361	X(01)	AN	DIGITAL ADVICE INDICATOR; values include: "Y" = Digital Advice account "N" = Not Digital Advice account "ƀ" = Not applicable
362-362	X(01)	AN	PROHIBITED TRANSACTON EXEMPTION (PTE) 86-128 ACCOUNT INDICATOR; values include: "Y" = Yes; PTE 86-128 account "N" = Not a PTE 86-128 account "ƀ" = Not applicable
363-370	X(08)	AN	Not Used
371-373	X(03)	AN	FIRST INVESTMENT PROFESSIONAL
374-376	X(03)	AN	SECOND INVESTMENT PROFESSIONAL
377-379	X(03)	AN	THIRD INVESTMENT PROFESSIONAL
380-382	X(03)	AN	FOURTH INVESTMENT PROFESSIONAL
383-385	X(03)	AN	FIFTH INVESTMENT PROFESSIONAL
386-388	X(03)	AN	SIXTH INVESTMENT PROFESSIONAL
389-391	X(03)	AN	SEVENTH INVESTMENT PROFESSIONAL
392-394	X(03)	AN	EIGHTH INVESTMENT PROFESSIONAL
395-397	X(03)	AN	NINTH INVESTMENT PROFESSIONAL
398-400	X(03)	AN	TENTH INVESTMENT PROFESSIONAL
401-408	X(08)	AN	ALERT IM ACRONYM; identifies buy-side entity
409-424	X(16)	AN	ALERT IM ACCESS CODE; identifies specific account at Institution
425-432	X(08)	AN	BROKER ACRONYM; identifies sell-side entity
433-433	X(01)	AN	CROSS-REFERENCED INDICATOR; values include: "Y" = Account is cross-referenced with ALERT Direct "N" = Account is not cross-referenced with ALERT Direct
434-434	X(01)	AN	BNY TRUST INDICATOR; values include: "N" = Not a BNY Trust Account "Y" = Valid BNY Trust Account

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
435-436	X(02)	AN	SOURCE OF ASSETS AT ACCOUNT OPENING; values include: "E" = Existing Assets "P" = Partially New Assets "N" = New Assets "R" = Default "▓" = No value entered/Not applicable
437-437	X(01)	AN	COMMISSION DISCOUNT CODE; free-form, legacy field
438-457	X(20)	AN	EXTERNAL ACCOUNT NUMBER; free-form text
458-458	X(01)	AN	CONFIRMATION SUPPRESSION INDICATOR; values include: "Y" = Suppress confirmations "N" = Do not suppress confirmations "▓" = Not applicable
459-464	9(06)	N	DATE LAST BOOKS AND RECORDS MAILING SENT TO CUSTOMER, in CCYYMM format
465-470	9(06)	N	DATE LAST BOOKS AND RECORDS MAILING SENT TO CUSTOMER OUTSIDE PERSHING SYSTEM, in CCYYMM format
471-471	X(01)	AN	Not Used
472-472	X(01)	AN	FULLY PAID LENDING AGREEMENT INDICATOR
473-480	9(08)	N	FULLY PAID LENDING AGREEMENT DATE, in CCYYMMDD format
481-484	X(04)	AN	CUSTODIAN ACCOUNT TYPE; values include: "UGMA" = Uniform Gifts to Minors Act "UTMA" = Uniform Transfers to Minors Act "▓▓▓▓" = Not applicable
485-488	X(04)	AN	MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE (MIFID) CUSTOMER CATEGORIZATION; values include: "RETL" = Retail Client "RETP" = Retail Client opting down from Professional "RETE" = Retail Client opting down from Eligible Counterparty "PROF" = Professional Client "PROR" = Professional Client opting up from Retail Client "PROE" = Professional Client opting down from Eligible Counterparty "ELIG" = Eligible Counterparty
			CASH MANAGEMENT INFORMATION
489-489	X(01)	AN	CASH MANAGEMENT TRANSACTION CODE; values include: "X" or "▓" = Unchanged record "A" = Add "C" = Change

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
490-493	X(04)	AN	SWEEP STATUS INDICATOR; values include: "Aƀƀƀ" = Active Sweep "Cƀƀƀ" = Closed Sweep "Iƀƀƀ" = Inactive Sweep "Nƀƀƀ" = Non-Participant or No Sweep
494-501	9(08)	N	DATE SWEEP ACTIVATED, in CCYYMMDD format
502-509	9(08)	N	DATE SWEEP DETAILS CHANGED, in CCYYMMDD format
510-510	X(01)	AN	COVER MARGIN DEBIT INDICATOR; values include: "Y" = Yes; sweep to cover margin debt "N" = No; do not sweep to cover margin debt
511-511	X(01)	AN	Not Used
FIRST FUND SWEEP INFORMATION			
512-518	X(07)	AN	FIRST FUND SWEEP ACCOUNT ID
519-536	9(09)v9(09)	N	FIRST FUND SWEEP ACCOUNT PERCENT
537-537	X(01)	AN	FIRST FUND SWEEP ACCOUNT REDEMPTION PRIORITY; values include: "ƀ" = When Sweep Status is blank "1" = Redeem this Fund first "2" = Redeem this Fund second
SECOND FUND SWEEP INFORMATION			
538-544	X(07)	AN	SECOND FUND SWEEP ACCOUNT ID
545-562	9(09)v9(09)	N	SECOND FUND SWEEP ACCOUNT PERCENT
563-563	X(01)	AN	SECOND FUND SWEEP ACCOUNT REDEMPTION PRIORITY; see position 537 for values
BANKLINK SWEEP INFORMATION			
564-564	X(01)	AN	TYPE OF BANK ACCOUNT; values include: "C" = Checking "S" = Saving "N" = Not applicable
565-573	X(09)	AN	BANKLINK ABA NUMBER
574-590	X(17)	AN	BANKLINK DDA NUMBER
591-593	X(03)	AN	Not Used
594-594	X(01)	AN	FUND BANK INDICATOR; values include: "F" = Fund "B" = Bank
595-630	X(36)	AN	For Pershing Internal Use Only
631-634	X(04)	AN	W-9 CORPORATION TAX CLASSIFICATION CODE; applies only to Registration types CORP, IACP, LLCP, LPAR and NPLC; values include: "CCRP" = C-Corporation "SCRP" = S-Corporation "ƀƀƀƀ" = Not applicable
635-635	X(01)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
636-636	X(01)	AN	COMBINED MARGIN ACCOUNT INDICATOR; values include: "Y" = Account is a combined margin account "N" = Account is not a combined margin account "▉" = Not applicable
637-637	X(01)	AN	PLEDGE COLLATERAL ACCOUNT INDICATOR; Banklink restriction; values include: "Y" = Account is a Pledge Collateral account "N" = Account is not a Pledge Collateral account "▉" = Not applicable
638-641	X(04)	AN	FINRA INSTITUTIONAL ACCOUNT CODE; identifies institutional account under FINRA Rule 4512(c); values include: "BKRI" = a Bank, Savings and Loan Association, Insurance Company or Registered Investment Company "INVA" = Investment Advisor "NONI" = Non-Institutional under Rule above "OENT" = Other Entity "▉▉▉▉" = Not applicable
642-647	X(06)	AN	PROPOSED ACCOUNT REFERENCE ID; for Advisory Account Investment Selection
648-659	X(12)	AN	ADVISOR MODEL ID; for Advisory Account Investment Selection
660-665	X(06)	AN	FIRM MODEL STYLE ID; for Advisory Account Investment Selection
666-685	X(20)	AN	For Pershing Internal Use Only
686-698	X(13)	AN	Not Used
699-710	X(12)	AN	For Pershing Internal Use Only
711-711	X(01)	AN	DVP RESTRICTION CODE; COD/DVP accounts only; values include: "Y" = Account is restricted from DVP purchases "N" = Account is not restricted from DVP purchases "▉" = Not applicable
712-719	9(08)	N	DVP RESTRICTION EXPIRATION DATE, in CCYYMMDD format; COD/DVP accounts only
720-721	X(02)	AN	ESCHEATMENT WITHHOLDING INDICATOR; values include: "WH" = Taxes are withheld during escheatment process "NR" = Tax withholding not required during escheatment process, or account is not currently in escheatment process "NP" = Tax withholding required during escheatment process, but could not be assessed "▉▉" = Not applicable
722-722	X(01)	AN	Not Used
723-726	X(04)	AN	SOURCE OF ORIGINATION; additional codes available to identify vendors; published values include: "BNKC" = Bank Custody "BRKR" = Broker-Dealer "PASO" = PAS (other than Bank Custody) (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"PERS" = Pershing
			"RIAb" = Registered Investment Advisor
			"bbbb" = Not populated, not applicable, or unknown
727-730	X(04)	AN	SOURCE OF PERSONA; values include: "ADVS" = Advisor "DIGI" = Digital Advice "HOME" = Home office "INVS" = Investor "SALA" = Sales assistant "VNDR" = Vendor "bbbb" = Not populated, not applicable, or unknown
731-734	X(04)	AN	CLIENT ON-BOARDING METHOD; how account was entered into system; values include: "ASER" = Account Services "CONB" = Mass Conversion via batch "CONP" = Mass Conversion via batch PONA "CONQ" = Mass Conversion via queue "ICOB" = NetX Investor client onboarding "KORR" = KORR application "NXCP" = NetExchange Client/PONA "PCOB" = Professional client on-boarding "PMAS" = Managed Investments client on-boarding "PONA" = PONA application "UAOA" = UAO Framework "UNDI" = Unknown distributed "UNMF" = Unknown mainframe "WEBS" = Web Services "bbbb" = Unknown
735-738	X(04)	AN	TAX FILING CODE; see Appendix Q for values
739-744	X(06)	AN	Not Used
745-748	X(04)	AN	For Pershing Internal Use Only
749-749	X(01)	AN	NON-PURPOSE COLLATERAL ACCOUNT INDICATOR; values include: "Y" = NPL Collateral account "N" = Not NPL Collateral account "b" = Not populated
750-750	X(01)	AN	Literally "X"; indicates the end of record B

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C: MAIN ACCOUNT INFORMATION; ADDRESS 1 AND 2

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			ACCOUNT ADDRESS 1
041-041	X(01)	AN	ADDRESS (1) TRANSACTION CODE; values include: "X" or "▉" = Unchanged record "A" = Add new address "C" = Change existing address information
042-042	X(01)	AN	SPECIAL HANDLING INDICATOR (1); values include: "N" = No special handling required for this address "Y" = Special handling required for this address
043-043	X(01)	AN	DELIVERY IDENTIFIER (1) address type; values include: "L" = Mailing "M" = Legal Address "D" = Legal and Mailing Addresses are the same "2" = Legal Address (for COD Accounts only) "O" = Business 1 "P" = Business 2 "S" = Seasonal 1 "T" = Seasonal 2 "U" = Seasonal 3
044-047	X(04)	AN	ATTENTION LINE PREFIX (1); values include: "ATTN" = Attention of "C/O▉" = Care of "▉▉▉▉" = May be blank in user-titled accounts
048-075	X(28)	AN	ATTENTION LINE DETAIL (1)
076-107	X(32)	AN	ADDRESS (1) LINE 1
108-139	X(32)	AN	ADDRESS (1) LINE 2
140-171	X(32)	AN	ADDRESS (1) LINE 3; only if Attention Line is spaces
172-203	X(32)	AN	ADDRESS (1) LINE 4; only if country is not US or Canada
			Positions 204-235 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City
204-218	X(15)	AN	CITY (1); US/Canada addresses only
219-220	X(02)	AN	STATE (1); US/Canada addresses only; see Appendix Q for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
221-235	X(15)	AN	ZIP (1); US/Canada addresses only
204-235	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
236-237	X(02)	AN	COUNTRY CODE (1); see Appendix Q for values
238-238	X(01)	AN	Not Used
The following fields in positions 239-337 are no longer updated as of April 2016; refer to the Lost Security Holders files (LSHD and LSHF) to receive current information; fields reverted to filler			
239-246	9(08)	N	MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
247-267	X(21)	AN	MOST RECENT RETURN COMMENT
268-271	X(04)	AN	MOST RECENT RETURN MAIL TYPE; values include: "CHCK" = Check "CONF" = Trade Confirmation "OTHR" = Other "STMT" = Customer Statement "TXSM" = Tax Statement "░░░░" = Not applicable
272-279	9(08)	N	SECOND MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
280-300	X(21)	AN	SECOND MOST RECENT RETURN COMMENT
301-304	X(04)	AN	SECOND MOST RECENT RETURN MAIL TYPE; see position 268-271 for values
305-312	9(08)	N	THIRD MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
313-333	X(21)	AN	THIRD MOST RECENT RETURN COMMENT
334-337	X(04)	AN	THIRD MOST RECENT RETURN MAIL TYPE; see pos. 268-271 for values
ACCOUNT ADDRESS 2			
338-338	X(01)	AN	ADDRESS (2) TRANSACTION CODE; see position 041 for values
339-339	X(01)	AN	SPECIAL HANDLING INDICATOR (2); see position 042 for values
340-340	X(01)	AN	DELIVERY IDENTIFIER (2); see position 043 for values
341-344	X(04)	AN	ATTENTION LINE PREFIX (2); see position 044-047 for values
345-372	X(28)	AN	ATTENTION LINE DETAIL (2)
373-404	X(32)	AN	ADDRESS (2) LINE 1
405-436	X(32)	AN	ADDRESS (2) LINE 2
437-468	X(32)	AN	ADDRESS (2) LINE 3; only if Attention Line is spaces
469-500	X(32)	AN	ADDRESS (2) LINE 4; only if country is not US or Canada
Positions 501-532 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
501-515	X(15)	AN	CITY (2); US/Canada addresses only
516-517	X(02)	AN	STATE (2); US/Canada addresses only; see Appendix Q for values
518-532	X(15)	AN	ZIP (2); US/Canada addresses only
501-532	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
533-534	X(02)	AN	COUNTRY CODE (2); see Appendix Q for values
535-566	X(32)	AN	ACCOUNT DESCRIPTION; further defines Account Registration; freeform text

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
567-567	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (2), effective Q3 2022; values include: "Y" = Currently being used as mailing address "▉" = Not applicable
568-600	X(33)	AN	Not Used
601-618	9(09)v9(09)	N	PRINCIPAL BILLING ALLOCATION PERCENTAGE, effective Q1 2023; applicable to Bank Custody Principal & Income Accounts only as indicated in Record 4, Position 614
619-634	X(16)	AN	Not Used
SEASONAL ADDRESS DATES			
635-635	X(01)	AN	SEASONAL ADDRESS IDENTIFIER; values include: "S" = Seasonal 1 "T" = Seasonal 2 "U" = Seasonal 3
636-643	9(08)	N	FROM DATE, in CCYYMMDD format
644-651	9(08)	N	TO DATE, in CCYYMMDD format
652-652	X(01)	AN	SEASONAL ADDRESS ID; see position 635 for values
653-660	9(08)	N	FROM DATE, in CCYYMMDD format
661-668	9(08)	N	TO DATE, in CCYYMMDD format
669-669	X(01)	AN	SEASONAL ADDRESS ID; see position 635 for values
670-677	9(08)	N	FROM DATE, in CCYYMMDD format
678-685	9(08)	N	TO DATE, in CCYYMMDD format
COST BASIS ACCOUNTING FIELDS			
686-689	X(04)	AN	COST BASIS ACCOUNTING SYSTEM; values include: "PORT" = Portfolio Management System "▉▉▉▉" = Not applicable or available
690-691	X(02)	AN	DISPOSITION METHOD FOR MUTUAL FUNDS; values: "AV" = Average Cost "FI" = First In, First Out "HC" = High Cost "HL" = High Cost Long Term "HS" = High Cost Short Term "LC" = Low Cost "LI" = Last In, First Out "LL" = Low Cost Long Term "LS" = Low Cost Short Term "MS" = Minimize Short Term Gains
692-693	X(02)	AN	DISPOSITION METHOD FOR ALL OTHER SECURITY TYPES; see position 690-691 for values
694-695	X(02)	AN	DISPOSITION METHOD FOR STOCKS IN DIVIDEND REINVESTMENT PLANS (DRIPS); see position 690-691 for values
BOND ELECTION REQUEST FOR COST BASIS REPORTING Applies to bond securities purchased and sold after January 1, 2014			

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
696-696	X(01)	AN	Not Used; formerly TREAT ALL INTEREST AS ORIGINAL ISSUE DISCOUNT (OID) due to IRS regulations
697-697	X(01)	AN	AMORTIZE TAXABLE PREMIUM BONDS; values include: "Y" = Amortize taxable premium bonds "N" = Do not amortize taxable premium bonds "**b**" = Not applicable
698-698	X(01)	AN	ACCRUE MARKET DISCOUNT BASED ON...; values include: "C" = Constant Yield "R" = Ratable Method "**b**" = Not applicable
699-699	X(01)	AN	INCLUDE MARKET DISCOUNT IN INCOME ANNUALLY; values include: "Y" = Include market discount in income annually "N" = Do not include market discount in income annually "**b**" = Not applicable
700-705	X(06)	AN	Reserved
706-747	X(42)	AN	For Pershing Internal Use Only
748-749	X(02)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record C

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD D: MAIN ACCOUNT INFORMATION; ADDRESS 3 AND 4

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "D"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			ACCOUNT ADDRESS 3
041-041	X(01)	AN	ADDRESS (3) TRANSACTION CODE; see Record C position 041 for values
042-042	X(01)	AN	SPECIAL HANDLING INDICATOR (3); see Record C position 042 for values
043-043	X(01)	AN	DELIVERY IDENTIFIER (3); see Record C position 043 for values
044-047	X(04)	AN	ATTENTION LINE PREFIX (3); see Record C position 044-047 for values
048-075	X(28)	AN	ATTENTION LINE DETAIL (3)
076-107	X(32)	AN	ADDRESS (3) LINE 1
108-139	X(32)	AN	ADDRESS (3) LINE 2
140-171	X(32)	AN	ADDRESS (3) LINE 3; only if Attention Line is spaces
172-203	X(32)	AN	ADDRESS (3) LINE 4; only if country is not US or Canada
			Positions 204-235 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City
204-218	X(15)	AN	CITY (3); US/Canada addresses only
219-220	X(02)	AN	STATE (3); US/Canada addresses only; see Appendix Q for values
221-235	X(15)	AN	ZIP (3); US/Canada addresses only
204-235	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
236-237	X(02)	AN	COUNTRY CODE (3); see Appendix Q for values
238-238	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (3), effective Q3 2022; see Record C position 567 for values
239-337	X(99)	AN	Not Used
			ACCOUNT ADDRESS 4
338-338	X(01)	AN	ADDRESS (4) TRANSACTION CODE; see Record C position 041 for values
339-339	X(01)	AN	SPECIAL HANDLING INDICATOR (4); see Record C position 042 for values
340-340	X(01)	AN	DELIVERY IDENTIFIER (4); see Record C position 043 for values
341-344	X(04)	AN	ATTENTION LINE PREFIX (4); see Record C position 044-047 for values
345-372	X(28)	AN	ATTENTION LINE DETAIL (4)
373-404	X(32)	AN	ADDRESS (4) LINE 1
405-436	X(32)	AN	ADDRESS (4) LINE 2
437-468	X(32)	AN	ADDRESS (4) LINE 3; only if Attention Line is spaces
469-500	X(32)	AN	ADDRESS (4) LINE 4; only if country is not US or Canada

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
Positions 501-532 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
501-515	X(15)	AN	CITY (4); US/Canada addresses only
516-517	X(02)	AN	STATE (4); US/Canada addresses only; see Appendix Q for values
518-532	X(15)	AN	ZIP (4); US/Canada addresses only
501-532	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
533-534	X(02)	AN	COUNTRY CODE (4); see Appendix Q for values
535-535	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (4), effective Q3 2022; see Record C position 567 for values
536-749	X(214)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record D

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD E: MAIN ACCOUNT INFORMATION; ADDRESS 5 AND 6

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "E"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			ACCOUNT ADDRESS 5
041-041	X(01)	AN	ADDRESS (5) TRANSACTION CODE; see Record C position 041 for values
042-042	X(01)	AN	SPECIAL HANDLING INDICATOR (5); see Record C position 042 for values
043-043	X(01)	AN	DELIVERY IDENTIFIER (5); see Record C position 043 for values
044-047	X(04)	AN	ATTENTION LINE PREFIX (5); see Record C position 044-047 for values
048-075	X(28)	AN	ATTENTION LINE DETAIL (5)
076-107	X(32)	AN	ADDRESS (5) LINE 1
108-139	X(32)	AN	ADDRESS (5) LINE 2
140-171	X(32)	AN	ADDRESS (5) LINE 3; only if Attention Line is spaces
172-203	X(32)	AN	ADDRESS (5) LINE 4; only if country is not US or Canada
			Positions 204-235 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City
204-218	X(15)	AN	CITY (5); US/Canada addresses only
219-220	X(02)	AN	STATE (5); US/Canada addresses only; see Appendix Q for values
221-235	X(15)	AN	ZIP (5); US/Canada addresses only
204-235	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
236-237	X(02)	AN	COUNTRY CODE (5); see Appendix Q for values
238-238	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (5), effective Q3 2022; see Record C position 567 for values
239-337	X(99)	AN	Not Used
			ACCOUNT ADDRESS 6
338-338	X(01)	AN	ADDRESS (6) TRANSACTION CODE; see Record C position 041 for values
339-339	X(01)	AN	SPECIAL HANDLING INDICATOR (6); see Record C position 042 for values
340-340	X(01)	AN	DELIVERY IDENTIFIER (6); see Record C position 043 for values
341-344	X(04)	AN	ATTENTION LINE PREFIX (6); see Record C position 044-047 for values
345-372	X(28)	AN	ATTENTION LINE DETAIL (6)
373-404	X(32)	AN	ADDRESS (6) LINE 1
405-436	X(32)	AN	ADDRESS (6) LINE 2
437-468	X(32)	AN	ADDRESS (6) LINE 3; only if Attention Line is spaces
469-500	X(32)	AN	ADDRESS (6) LINE 4; only if country is not US or Canada

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
Positions 501-532 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City
501-515	X(15)	AN	CITY (6); US/Canada addresses only
516-517	X(02)	AN	STATE (6); US/Canada addresses only; see Appendix Q for values
518-532	X(15)	AN	ZIP (6); US/Canada addresses only
501-532	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
533-534	X(02)	AN	COUNTRY CODE (6); see Appendix Q for values
535-535	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (6), effective Q3 2022; see Record C position 567 for values
536-749	X(214)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record E

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD F: MAIN ACCOUNT INFORMATION; ADDRESS 7

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "F"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			ACCOUNT ADDRESS 7
041-041	X(01)	AN	ADDRESS (7) TRANSACTION CODE; see Record C position 041 for values
042-042	X(01)	AN	SPECIAL HANDLING INDICATOR (7); see Record C position 042 for values
043-043	X(01)	AN	DELIVERY IDENTIFIER (7); see Record C position 043 for values
044-047	X(04)	AN	ATTENTION LINE PREFIX (7); see Record C position 044-047 for values
048-075	X(28)	AN	ATTENTION LINE DETAIL (7)
076-107	X(32)	AN	ADDRESS (7) LINE 1
108-139	X(32)	AN	ADDRESS (7) LINE 2
140-171	X(32)	AN	ADDRESS (7) LINE 3; only if ATTENTION LINE contains spaces
172-203	X(32)	AN	ADDRESS (7) LINE 4; only if country is not US or Canada
			Positions 204-235 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City
204-218	X(15)	AN	CITY (7); US/Canada addresses only
219-220	X(02)	AN	STATE (7); US/Canada addresses only; see Appendix Q for values
221-235	X(15)	AN	ZIP (7); US/Canada addresses only
204-235	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
236-237	X(02)	AN	COUNTRY CODE (7); see Appendix Q for values
238-238	X(01)	AN	SET AS MAILING ADDRESS INDICATOR (7), effective Q3 2022; see Record C position 567 for values
239-749	X(511)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record F

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD W: ADDITIONAL ACCOUNT-LEVEL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "W"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "⌷"= Unchanged record "A" = Added account "C" = Change to existing record
			CURRENCY/LANGUAGE INFORMATION
042-042	X(01)	AN	NON-US DOLLAR TRADING; also in Record A position 461; values include: "Y" = Account approved for trading in non-US Dollars "N" = Not eligible to trade non-US Dollars (default)
043-045	X(03)	AN	BASE CURRENCY; see Appendix N for values
046-048	X(03)	AN	INCOME CURRENCY; see Appendix N for values; also acceptable values: "ISS" = Issue Currency; in which Pershing receives payment "POS" = Position Currency; in which customer is holding underlying position "SEL" = Specifically selected currency (default)
049-051	X(03)	AN	STATEMENT LANGUAGE; values include: "ENG" = English "SPA" = Spanish
052-054	X(03)	AN	STATEMENT FORMAT CODE; values include: "BRL" = Braille "LRG" = Large Font "⌷⌷⌷" = Not applicable
055-055	X(01)	AN	MSRB STATEMENT INDICATOR; values include: "Y" = Send Statements "N" = Do not send Statements "⌷" = Not applicable
056-061	X(06)	AN	Not Used
062-062	X(01)	AN	POLITICALLY EXPOSED PERSON; field also in Record A position 671; values include: "Y" = Politically Exposed Person "N" = Not a Politically Exposed Person "⌷" = Unknown or not applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
063-087	X(25)	AN	FIRST NAME OF POLITICALLY EXPOSED PERSON
088-112	X(25)	AN	LAST NAME OF POLITICALLY EXPOSED PERSON
113-116	X(04)	AN	SUFFIX OF POLITICALLY EXPOSED PERSON
117-151	X(35)	AN	POLITICAL OFFICE HELD
152-153	X(02)	AN	COUNTRY OF OFFICE; see Appendix Q for values
154-154	X(01)	AN	FOREIGN BANK ACCOUNT INDICATOR; also in Record A position 673; values include: "Y" = Account is for a foreign bank "N" = Account is not for a foreign bank "U" = Unknown or not applicable
155-162	9(08)	N	FOREIGN BANK CERTIFICATION DATE, in CCYYMMDD format
163-170	9(08)	N	FOREIGN BANK CERTIFICATION EXPIRATION DATE, in CCYYMMDD format
171-171	X(01)	AN	CENTRAL BANK INDICATOR; values include: "Y" = Account is a foreign central bank "N" = Account is not a foreign central bank "U" = Unknown
172-172	X(01)	AN	ACCOUNT FOR FOREIGN FINANCIAL INSTITUTION; values include: "Y" = Yes "N" = No "▐b▌" = Not applicable
173-173	X(01)	AN	FOREIGN BANK ACCOUNT OPERATING UNDER OFFSHORE BANKING LICENSE; see position 172 for values
174-174	X(01)	AN	FOREIGN BANK ACCOUNT OPERATING UNDER BANKING LICENSE ISSUED BY NON-COOPERATIVE COUNTRY/TERRITORY; see position 172 for values
175-175	X(01)	AN	FOREIGN BANK ACCOUNT OPERATING UNDER BANKING LICENSE ISSUED BY JURISDICTION SUBJECT TO SECTION 311 MEASURES; see position 172 for values
176-177	X(02)	AN	NUMBER OF PEOPLE/ENTITIES THAT OWN =/>10% OF BANK (IF BANK IS NOT PUBLICLY TRADED); values are 01-10; space is valid value
178-178	X(01)	AN	PROPRIETARY ACCOUNT OWNED BY BROKER DEALER; field applies only to accounts with Registration Types BANK, FINL, INBD, NUBK; values: "Y" = Account is a proprietary account owned by a broker dealer "N" = Account is not a proprietary account owned by a broker dealer "▐b▌" = Not applicable or answered
179-181	X(03)	AN	Not Used
ACCOUNT-LEVEL TELEPHONE NUMBER; alphabetical order based on Telephone Type ID			
TELEPHONE NUMBER 1			
182-182	X(01)	AN	TELEPHONE (1) TRANSACTION CODE; values include: "X" or "▐b▌" = Unchanged record "A" = Add telephone number "C" = Change existing telephone number

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
183-183	X(01)	AN	US/INTERNATIONAL INDICATOR (1); values include: "U" = US/Canada "F" = International
184-184	X(01)	AN	TELEPHONE TYPE ID (1); values include: "B" = Business "C" = Cellular "E" = Beeper "F" = Fax "H" = Home "S" = Seasonal "T" = Telex "V" = Voice Mail
185-232	X(48)	AN	TELEPHONE NUMBER (1)
233-239	X(07)	AN	TELEPHONE EXTENSION (1)
			TELEPHONE NUMBER 2
240-240	X(01)	AN	TELEPHONE (2) TRANSACTION CODE; see position 182 for values
241-241	X(01)	AN	US/INTERNATIONAL INDICATOR (2); see position 183 for values
242-242	X(01)	AN	TELEPHONE TYPE ID (2); see position 184 for values
243-290	X(48)	AN	TELEPHONE NUMBER (2)
291-297	X(07)	AN	TELEPHONE EXTENSION (2)
			TELEPHONE NUMBER 3
298-298	X(01)	AN	TELEPHONE (3) TRANSACTION CODE; see position 182 for values
299-299	X(01)	AN	US/INTERNATIONAL INDICATOR (3); see position 183 for values
300-300	X(01)	AN	TELEPHONE TYPE ID (3); see position 184 for values
301-348	X(48)	AN	TELEPHONE NUMBER (3)
349-355	X(07)	AN	TELEPHONE EXTENSION (3)
			TELEPHONE NUMBER 4
356-356	X(01)	AN	TELEPHONE (4) TRANSACTION CODE; see position 182 for values
357-357	X(01)	AN	US/INTERNATIONAL INDICATOR (4); see position 183 for values
358-358	X(01)	AN	TELEPHONE TYPE ID (4); see position 184 for values
359-406	X(48)	AN	TELEPHONE NUMBER (4)
407-413	X(07)	AN	TELEPHONE EXTENSION (4)
			TELEPHONE NUMBER 5
414-414	X(01)	AN	TELEPHONE (5) TRANSACTION CODE; see position 182 for values
415-415	X(01)	AN	US/INTERNATIONAL INDICATOR (5); see position 183 for values
416-416	X(01)	AN	TELEPHONE TYPE ID (5); see position 184 for values
417-464	X(48)	AN	TELEPHONE NUMBER (5)
465-471	X(07)	AN	TELEPHONE EXTENSION (5)
			TELEPHONE NUMBER 6
472-472	X(01)	AN	TELEPHONE (6) TRANSACTION CODE; see position 182 for values
473-473	X(01)	AN	US/INTERNATIONAL INDICATOR (6); see position 183 for values
474-474	X(01)	AN	TELEPHONE TYPE ID (6); see position 184 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
475-522	X(48)	AN	TELEPHONE NUMBER (6)
523-529	X(07)	AN	TELEPHONE EXTENSION (6)
			TELEPHONE NUMBER 7
530-530	X(01)	AN	TELEPHONE (7) TRANSACTION CODE; see position 182 for values
531-531	X(01)	AN	US/INTERNATIONAL INDICATOR (7); see position 183 for values
532-532	X(01)	AN	TELEPHONE TYPE ID (7); see position 184 for values
533-580	X(48)	AN	TELEPHONE NUMBER (7)
581-587	X(07)	AN	TELEPHONE EXTENSION (7)
			TELEPHONE NUMBER 8
588-588	X(01)	AN	TELEPHONE (8) TRANSACTION CODE; see position 182 for values
589-589	X(01)	AN	US/INTERNATIONAL INDICATOR (8); see position 183 for values
590-590	X(01)	AN	TELEPHONE TYPE ID (8); see position 184 for values
591-638	X(48)	AN	TELEPHONE NUMBER (8)
639-645	X(07)	AN	TELEPHONE EXTENSION (8)
646-695	X(50)	AN	E-MAIL ADDRESS
696-696	X(01)	AN	EXTERNAL POSITIONS INDICATOR; values include: "Y" = Account has external positions "N" = Account does not have external position
697-697	X(01)	AN	PURGE ELIGIBLE INDICATOR; values include: "Y" = Account is Purge Eligible "N" = Account is not Purge Eligible
698-698	X(01)	AN	ADVISORY ACCOUNT INDICATOR; values include: "Y" = Advisory account "N" = Not an Advisory account
699-702	X(04)	AN	PRODUCT PROFILE CODE; values include: "PMAS" = Managed Investments "PSHG" = Pershing
703-704	9(02)	N	CENTS PER SHARE DISCOUNT; actual % discounted
705-714	X(10)	AN	For Pershing Internal Use Only
715-722	9(08)	N	OPTION DISCLOSURE DATE, in CCYYMMDD format
723-745	X(23)	AN	For Pershing Internal Use Only
746-749	X(04)	AN	COUNTRY OF ACCOUNT LEVEL TAX RESIDENCY; see Appendix Q for country codes; additional values include: "A1ƀƀ" = AF Americas except Canada "A2ƀƀ" = AF Europe, Canada, Africa, Mid East "A3ƀƀ" = AF Pacific "FINT" = Foreign Intermediary "UNPF" = Undocumented; presumed foreign "UNPU" = Undocumented; presumed US
750-750	X(01)	AN	Literally "X"; indicates the end of record W

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD 4: KYC INVESTMENT KNOWLEDGE; BANK CUSTODY; AML RISK RATINGS

RECORD 4: KYC INVESTMENT KNOWLEDGE; BANK CUSTODY INFORMATION; AML RISK RATINGS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "4"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "ʙ"= Unchanged record "A" = Added record "C" = Change to existing record
KYC INVESTMENT KNOWLEDGE INFORMATION			
042-045	X(04)	AN	ACCOUNT SUITABILITY OBLIGATION; values include: "WALL" = Waived for all recommendations "AALL" = Accepted for all recommendations "TIME" = Determined at time of each recommendation "WEXC" = Waived exclusively for recommendations involving asset classes listed in the following fields "ʙʙʙʙ"= Not applicable
The following fields in positions 046-052 and 082 will use the values as defined below:			
			ASSET CLASSES WAIVED; when Account Suitability Obligation in position 042-045 is "WEXC"; values for each field include: "Y" = Yes, waived for the specified security type "N" = No, not waived for the specified security type "ʙ"= Unknown or not applicable
046-046	X(01)	AN	EQUITIES
047-047	X(01)	AN	OPTIONS
048-048	X(01)	AN	FIXED INCOME
049-049	X(01)	AN	MUTUAL FUNDS
050-050	X(01)	AN	UNIT INVESTMENT TRUSTS
051-051	X(01)	AN	EXCHANGE TRADED FUNDS
052-081	X(30)	AN	OTHER INVESTMENT TYPE; when ASSET TYPE = "OTHER"; free-form
082-082	X(01)	AN	OTHER INVESTMENT TYPE VALUE
OTHER INVESTMENTS HELD OUTSIDE OF ACCOUNT			
083-100	9(16)v9(02)	N	OTHER EQUITY INVESTMENTS VALUE
101-118	9(16)v9(02)	N	OTHER OPTION INVESTMENTS VALUE
119-136	9(16)v9(02)	N	OTHER FIXED INCOME INVESTMENTS VALUE

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
137-154	9(16)v9(02)	N	OTHER MUTUAL FUNDS INVESTMENTS VALUE
155-172	9(16)v9(02)	N	OTHER UNIT INVESTMENT TRUST INVESTMENTS VALUE
173-190	9(16)v9(02)	N	OTHER EXCHANGE TRADED FUND INVESTMENTS VALUE
191-208	9(16)v9(02)	N	OTHER REAL ESTATE INVESTMENTS VALUE
209-226	9(16)v9(02)	N	OTHER INSURANCE INVESTMENTS VALUE
227-244	9(16)v9(02)	N	OTHER ANNUITIES (VARIABLE) INVESTMENTS VALUE
245-262	9(16)v9(02)	N	OTHER ANNUITIES (FIXED) INVESTMENTS VALUE
263-280	9(16)v9(02)	N	OTHER PRECIOUS METALS INVESTMENTS VALUE
281-298	9(16)v9(02)	N	OTHER COMMODITIES AND FUTURES INVESTMENTS VALUE
299-328	X(30)	AN	OTHER NOT LISTED TYPE ONE; free-form
329-346	9(16)v9(02)	N	OTHER NOT LISTED TYPE ONE INVESTMENTS VALUE
347-376	X(30)	AN	OTHER NOT LISTED TYPE TWO; free-form
377-394	9(16)v9(02)	N	OTHER NOT LISTED TYPE TWO INVESTMENTS VALUE
395-424	X(30)	AN	OTHER NOT LISTED TYPE THREE; free-form
425-442	9(16)v9(02)	N	OTHER NOT LISTED TYPE THREE INVESTMENTS VALUE
443-472	X(30)	AN	OTHER NOT LISTED TYPE FOUR; free-form
473-490	9(16)v9(02)	N	OTHER NOT LISTED TYPE FOUR INVESTMENTS VALUE
491-520	X(30)	AN	OTHER NOT LISTED TYPE FIVE; free-form
521-538	9(16)v9(02)	N	OTHER NOT LISTED TYPE FIVE INVESTMENTS VALUE
539-546	9(08)	N	INVESTMENT TIME HORIZON, in CCYYMMDD format
547-547	X(01)	AN	LIQUIDITY NEEDS; values include: "H" = High "M" = Medium "L" = Low "▉" = Not answered
548-549	X(02)	AN	TIME HORIZON RANGE; values are IBD-driven; space is a valid value
550-555	X(06)	AN	Not Used
556-556	X(01)	AN	ARE THERE OTHER INVESTMENTS?; values include: "Y" = Yes; account has other investments "N" = No; account does not have other investments "W" = Withheld; Account chooses not to disclose investment information "▉" = Not answered
557-557	X(01)	AN	SECURITIZED PRODUCT APPROVAL LEVEL
558-563	9(06)	N	SECURITIZED PRODUCT DISCLOSURE MAILING DATE, in CCYYMM format
564-565	X(02)	AN	Not Used
566-566	X(01)	AN	SPECULATION; values include: "Y" = Speculative transactions allowed "N" = Speculative transactions not allowed "▉" = Not applicable or known
567-574	X(08)	AN	For Pershing Internal Use Only

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
575-610	X(36)	AN	ASSETS OF THE PLAN; for Retirement Accounts Only
611-612	9(02)	N	EXEMPT PAYEE CODE; see Appendix Q for values
613-613	X(01)	AN	EXEMPTION FROM FATCA REPORTING CODE; see Appendix Q
614-614	X(01)	AN	PRINCIPAL/INCOME ACCOUNTING INDICATOR; for Bank Custody accounts only; values include: "P" = Principal "I" = Income "B" = Both Principal & Income, based on transaction indicator "▉" = Not applicable
615-618	X(04)	AN	BNYM CAPACITY; for Bank Custody accounts only; capacity in which BNYM is acting to administer account; effective Q3 2022; values include: "ADTR" = Administrative trustee "AGTR" = Agent for trustee "ANTR" = Agent (Non-trusts) "COTR" = Co-trustee "CPTR" = Corporate trustee "CTDN" = Custodian "DITR" = Directed trustee "ESAG" = Escrow Agent "EXCT' = Executor "GUCT" = Guardian/Conservator "INMR" = Investment Manager "MGPR" = Managing Partner "PLSP" = Plan sponsor "SCTR" = Successor Co-trustee "SCUS" = Sub-custodian "SOTR" = Sole trustee "SREA" = Successor Escrow Agent "SRTR" = Successor trustee "▉ ▉ ▉ ▉" = Not applicable
619-622	X(04)	AN	FIRM/Client Capacity; capacity in which client firm is acting to administer account; see position 615-618 for values
623-626	X(04)	AN	INVESTMENT AUTHORITY; for Bank Custody accounts only; values include: "FULL" = Full power "FPEX" = Full power with exception "FPCC" = Full power with courtesy call "JTCO" = Joint co-fiduciary "JTCX" = Joint co-fiduciary with exception "JTFX" = Joint with flexibility "SPEC" = Special "SPEX" = Special with exception "NONE" = No responsibility (cont.)

RECORD 4: KYC INVESTMENT KNOWLEDGE; BANK CUSTODY INFORMATION; AML RISK RATINGS

POSITION	PICTURE	TYPE	DESCRIPTION
			"NOEX" = No responsibility except cash
			"▐▌▐▌▐▌▐▌" = Not applicable
627-630	9(04)	N	FISCAL YEAR END DATE, in MMDD format; for Bank Custody accounts only; last day of account's current fiscal year
631-633	X(03)	AN	*Reserved*
634-634	X(01)	AN	SKIP TAX RECLAIM PROCESSING; for Bank Custody accounts only; values include: "Y" = Skip tax reclaim "N" = Do not skip tax reclaim
635-642	9(08)	N	LAST INVESTMENT REVIEW DATE, in CCYYMMDD format; for Bank Custody accounts only
643-650	9(08)	N	LAST ADMINISTRATIVE REVIEW DATE, in CCYYMMDD format; for Bank Custody accounts only
651-651	X(01)	AN	OVERDRAFTS ALLOWED; for Bank Custody accounts only; values include: "Y" = Yes; overdrafts allowed "N" = No; overdrafts not allowed "▐▌" = Not applicable
		ADDITIONAL IDENTIFIERS *(Reserved)*	
652-660	X(09)	AN	Reserved for Introducing Firm
661-664	X(04)	AN	Reserved for BOOKING ENTITY; legal Books and Records entity with BNY Mellon and affiliates; values include: "BNYM" = BNY Mellon, NA (Bank Custody) "PLLC" = Pershing LLC (Brokerage) "PSAL" = Pershing Australia (Brokerage) "PSCL" = Pershing Canada (Brokerage) "PSLL" = Pershing London (Brokerage)
665-668	X(04)	AN	Reserved for BOOKING ENTITY BUSINESS CODE; type of business Booking Entity operates; values include: "BKRG" = Brokerage "BNKC" = Bank Custody
		AML RISK RATINGS INFORMATION	
669-669	X(01)	AN	HIGH NUMBER OF ANTICIPATED TRANSACTIONS; values include: "Y" = Yes "N" = No
670-670	X(01)	AN	ACCOUNT REQUIRES SPECIAL SERVICES; see position 669 for values
671-674	X(04)	AN	SPECIAL SERVICE REQUIRED; up to 7 occur if pos.670 is "Y"; values: "BULK" = Bulk cash and checks "FNBK" = Foreign bank payable through accounts "HLDM" = Hold mail service "NMAC" = Numbered accounts "PAYT" = Payable through accounts "RCDC" = Remote deposit capture "THRC" = Accepts third party checks

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
675-678	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
679-682	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
683-686	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
687-690	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
691-694	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
695-698	X(04)	AN	SPECIAL SERVICE REQUIRED; see position 671-674 for values
699-718	X(20)	AN	*Reserved*
END OF AML RISK RATINGS SECTION			
719-727	X(09)	AN	PERSHING PLAN NUMBER; number assigned to retirement account by Pershing system when user links account to retirement plan using Pershing's Account Linking function through either Account Onboarding or Account Maintenance
728-728	X(01)	AN	4210 EXEMPT STATUS; provides exemptions from margin requirements related to covered securities transactions based on exempt status of account; values include: "Y" = Yes "N" = No "▯" = Not applicable
729-729	X(01)	AN	MSFTA RECEIVED; Master Securities Forward Transaction Agreement (MSFTA); values include: "Y" = Yes "N" = No "▯" = Not applicable
730-739	9(10)	N	COVERED SECURITIES LIMIT; risk limit determination with each counterparty based on creditworthiness, between 0-9999999999
740-740	X(01)	AN	ACCOUNT IS HIGH RISK; values include: "Y" = Yes, account is high risk "N" = No, account is not high risk "▯" = Not applicable
741-746	9(06)	N	MTM LIMIT; de minimis MTM transfer amount per Master Securities Forward Transaction Agreement, between 0-250000
747-749	X(03)	AN	*Reserved for future expansion*
750-750	X(01)	AN	Literally "X"; indicates the end of record 4

DETAIL RECORD 5: CUSTOMER DUE DILIGENCE (CDD) INFORMATION (OPTIONAL)

RECORD 5: CUSTOMER DUE DILIGENCE (CDD) INFORMATION (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "5"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "▉"= Unchanged record "A" = Added record "C" = Change to existing record
CUSTOMER DUE DILIGENCE (CDD) INFORMATION			
042-049	9(08)	N	CERTIFICATION DATE, in CCYYMMDD format
050-081	X(32)	AN	FinCEN CERTIFICATION FORM CERTIFIED BY; free-form
082-121	X(40)	AN	POSITION HELD BY FINCEN CERTIFIER; free-form
122-122	X(01)	AN	LEGAL ENTITY EXEMPTED FROM THE CDD RULE; values include: "Y" = Yes; entity is exempted "N" = No; entity is not exempted "▉"= Not applicable or populated
123-172	X(50)	AN	Not Used
LIST OF EXCLUSIONS			
173-173	X(01)	AN	Entity is a financial institution regulated by Federal functional regulator or bank regulator by State bank regulator; values include: "Y" = Yes "N" = No "▉" = Not applicable or answered
174-174	X(01)	AN	Entity is a department or agency of United States, of any State, or of any political subdivision of a State; see position 173 for values
175-175	X(01)	AN	Entity is an investment company; defined in Section 3 of Investment Company Act of 1940 registered with SEC under Act; see position 173 for values
176-176	X(01)	AN	Entity is an investment adviser; defined in Section 202(a)(11) of Investment Advisers Act of 1940 registered with SEC under Act; see position 173 for values
177-177	X(01)	AN	Entity is an exchange or clearing agency; defined in Section 3 of Securities Exchange Act of 1934 registered under section 6 or 17A of Act; see position 173 for values
178-178	X(01)	AN	Entity is any other entity registered with SEC under Securities and Exchange Act of 1934; see position 173 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
179-179	X(01)	AN	Entity is a registered entity, commodity pool operator commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant; each defined in Section 1a of Commodity Exchange Act registered with CFTC; see position 173 for values
180-180	X(01)	AN	Entity is a public accounting firm registered under Section 102 of Sarbanes-Oxley Act; see position 173 for values
181-181	X(01)	AN	Entity is a bank holding company; defined in Section 2 of Bank Holding Company Act of 1956 (12 U.S.S. 1841); or Entity is a savings and loan holding company; defined in Section 10(n) of Home Owners' Loan Act (12 U.S.C. 1467a(n)); see position 173 for values
182-182	X(01)	AN	Entity is a pooled investment vehicle operated or advised by financial institution excluded below; see position 173 for values
183-183	X(01)	AN	Entity is an insurance company regulated by a State; see position 173 for values
184-184	X(01)	AN	Entity is a financial market utility designated by Financial Stability Oversight Council under Title VIII of Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010; see position 173 for values
185-185	X(01)	AN	Entity is a foreign financial institution established in jurisdiction where regulator of institution maintains beneficial ownership information regarding institution; see position 173 for values
186-186	X(01)	AN	Entity is a non-US governmental department, agency or political subdivision that engages only in governmental department, agency or political subdivision that engages only in governmental rather than commercial activities; see position 173 for values
187-187	X(01)	AN	Entity is any legal entity that opens private banking account subject to 31 CFR 1010.620; see position 173 for values
188-188	X(01)	AN	Entity Trust is not a Statutory Trust created by filing with Secretary of State or similar office; see position 173 for values
189-189	X(01)	AN	Entity is not a Legal Entity Customer as defined by CDD Rule; see position 173 for values
190-190	X(01)	AN	Any entity, other than a bank, whose common stock or analogous equity interests are listed on New York, American, or NASDAQ stock exchange; see position 173 for values
191-191	X(01)	AN	Any entity organized under laws of United States or of any State; at least 51 percent of those whose common stock or analogous equity interests are held by a listed equity; see position 173 for values
192-229	X(38)	AN	*Reserved*
230-249	X(20)	AN	Not Used
The following four fields for Consolidated Audit Trail for all exchange listed equities across all US markets, Regulatory requirements			
250-289	X(40)	AN	PERSHING FIRM DESIGNATED IDENTIFIER (FDID)
290-329	X(40)	AN	PREVIOUS IBD FIRM DESIGNATED IDENTIFIER (FDID)
330-331	X(02)	AN	BUSINESS PURPOSE CODE; Firm Accounts only; see Appendix Q for values
332-332	X(01)	AN	AFFILIATE INDICATOR; values include: "Y" = Affiliate "N" = Not affiliate "▉" = Not applicable or populated

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
333-333	X(01)	AN	RETAIL INVESTOR INDICATOR; applies to Client Relationship Summary (CRS); values include: "Y" = Retail investor "N" = Not a retail investor "▮" = Not applicable, populated, or known
334-341	9(08)	N	CRS GENERATION DATE, in CCYYMMDD format; applies to Client Relationship Summary (CRS); populated when firm opted for full Pershing CRS solution and account is considered a retail investor
342-349	9(08)	N	FIRM CRS GENERATION DATE, in CCYYMMDD format; applies to Client Relationship Summary (CRS)
350-477	X(128)	AN	NATURE AND PURPOSE OF ACCOUNT; free-form text
478-497	X(20)	AN	PRIOR FIRM CRD NUMBER, effective Q2 2022
498-505	9(08)	N	LAST CAT REPORTABLE ACTIVITY DATE, effective Q4 2022
506-513	9(08)	N	LAST CAIS REPORT DATE, effective Q4 2022
514-514	X(01)	AN	CAIS STATUS, effective Q4 2022; values include: "A" = Active "I" = Inactive
515-518	X(04)	AN	LAST CAIS REPORT TRIGGER, effective Q4 2022; values include: "RQST" = IBD Request "RQRM" = IBD Request Removed "TRAN" = Transaction "ICHG" = CAIS Information Change "INAC" = CAIS Inactive
519-519	X(01)	AN	REQUEST CAIS REPORTING, effective Q2 2022; values include: "Y" = Yes "N" = No
520-749	X(230)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record 5

DETAIL RECORD G: ACCOUNT HOLDER/PARTICIPANT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
			RECORD G: ACCOUNT HOLDER/PARTICIPANT INFORMATION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "G"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	ACCOUNT HOLDER/PARTICIPANT TRANSACTION; values include: "X" or "ƀ" = Unchanged record "A" = Add Account Holder/Participant "C" = Change existing Account Holder/Participant
ACCOUNT HOLDER/PARTICIPANT SECONDARY IDENTIFIERS			
042-044	X(03)	AN	SEQUENCE NUMBER; values are 001 through 016
045-047	X(03)	AN	ACCOUNT HOLDER TYPE; values include: "AHƀ" = Account Holder "B&R" = Books and Records participant "IPP" = Interested Party participant
048-051	X(04)	AN	ACCOUNT HOLDER/PARTICIPANT (1) ROLE; see Appendix Q for values
ACCOUNT HOLDER/PARTICIPANT NAME AREA			
052-052	X(01)	AN	ACCOUNT HOLDER/PARTICIPANT (1) NAME TYPE; see Natural/Non-Natural Indicator field in position 577 to identify holder as individual or entity; values include: "I" = Individual (Formatted) "E" = Entity (free-form text or unformatted individual name) "M" = Memo (for Interested Party Type only; free-form text)
053-084	X(32)	AN	ACCOUNT HOLDER/PARTICIPANT (1) PREFIX/SUFFIX or ENTITY NAME/MEMO FREE-FORM LINE 1; if Name Type field in position 052 is "I" then one of the following values will be used; second 4 characters can be used for suffix, and remaining 24 characters are blank; if Name Type field is "E" or "M" then field is free-form and can be blank; values include: "ƀƀƀƀ" "DRƀƀ" "MDMƀ" "MRƀƀ" "MSƀƀ" "MRSƀ" "SIRƀ"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
085-116	X(32)	AN	ACCOUNT HOLDER/PARTICIPANT (1) FIRST NAME or ENTITY NAME/MEMO FREE-FORM LINE 2; if Name Type field in position 052 is "I" then field contains name; if Name Type field is "E" or "M" then field is free-form and can be blank
117-148	X(32)	AN	ACCOUNT HOLDER/PARTICIPANT (1) MIDDLE INITIAL/NAME or ENTITY NAME/MEMO FREE-FORM LINE 3; see position 085-116 for field logic
149-180	X(32)	AN	ACCOUNT HOLDER/PARTICIPANT (1) LAST NAME or ENTITY NAME/MEMO FREE-FORM LINE 4; see position 085-116 for field logic
ACCOUNT HOLDER/PARTICIPANT ADDRESS AREA (FIRST)			
181-181	X(01)	AN	DELIVERY IDENTIFIER; defines type of address; values include: "M" = Legal "L" = Mailing "D" = Dual; Legal and Mailing addresses are same for participant and displayed for this iteration only
182-182	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No special handling (default value) "Y" = Special handling required (mandatory for international addresses)
183-186	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O␣" = Care of "␣␣␣␣" = May be blank in user-titled accounts
187-214	X(28)	AN	ATTENTION LINE DETAIL
215-246	X(32)	AN	STREET ADDRESS LINE 1 or MEMO FREE-FORM LINE 5
247-278	X(32)	AN	STREET ADDRESS LINE 2 or MEMO FREE-FORM LINE 6
279-310	X(32)	AN	STREET ADDRESS LINE 3; only if Attention Line is spaces
311-342	X(32)	AN	STREET ADDRESS LINE 4; only if not US or Canada
Positions 343-374 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
343-357	X(15)	AN	CITY; US/Canada addresses only
358-359	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
360-374	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
343-374	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
375-376	X(02)	AN	COUNTRY CODE; see Appendix Q for values
377-378	X(02)	AN	Not Used
ACCOUNT HOLDER/PARTICIPANT ADDRESS AREA (SECOND)			
379-379	X(01)	AN	DELIVERY IDENTIFIER; defines type of address; values include: "M" = Legal "L" = Mailing
380-380	X(01)	AN	SPECIAL HANDLING INDICATOR; see position 182 for values
381-384	X(04)	AN	ATTENTION LINE PREFIX; see position 183-186 for values
385-412	X(28)	AN	ATTENTION LINE DETAIL
413-444	X(32)	AN	STREET ADDRESS LINE 1
445-476	X(32)	AN	STREET ADDRESS LINE 2

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
477-508	X(32)	AN	STREET ADDRESS LINE 3; only if Attention Line is spaces
509-540	X(32)	AN	STREET ADDRESS LINE 4; only if not US or Canada
Positions 541-572 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
541-555	X(15)	AN	CITY; US/Canada addresses only
556-557	X(02)	AN	STATE; for US/Canadian addresses only; see Appendix Q for values
558-572	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
541-572	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
573-574	X(02)	AN	COUNTRY CODE; see Appendix Q for values
575-576	X(02)	AN	Not Used
ACCOUNT HOLDER/PARTICIPANT INFORMATION; includes USA PATRIOT ACT account information			
577-577	X(01)	AN	NATURAL/NON-NATURAL INDICATOR; field identifies holder/party as actual Individual ("I") or Entity ("E"); values include: "I" = Individual/Person "E" = Entity/Business/Nonperson "U" = Unknown "M" = Memo
578-578	X(01)	AN	CONFIRMATION RECEIPT INDICATOR; values include: "Y" = Receives Confirmations "N" = Does Not Receive Confirmations
579-579	X(01)	AN	STATEMENT RECEIPT INDICATOR; values include: "Y" = Receives Statements "N" = Does Not Receive Statements
580-581	9(02)	N	YEARS OF INVESTMENT EXPERIENCE; values 00-99
582-582	X(01)	AN	GENDER; values include: "F" = Female "M" = Male "N" = Not applicable (i.e., Account Holder is Corporate Entity) "U" = Unknown/Undetermined
583-583	X(01)	AN	PROXY INDICATOR; values include: "Y" = Yes "N" = No "▉"= Not applicable or provided
584-591	9(08)	N	ACCOUNT HOLDER/PARTICIPANT'S BIRTH DATE, in CCYYMMDD format
592-593	X(02)	AN	ACCOUNT HOLDER/PARTICIPANT PRIMARY COUNTRY OF CITIZENSHIP; for Individual; or COUNTRY OF INCORPORATION OR ORGANIZATION; for Entity; see Appendix Q for values
594-595	X(02)	AN	ACCOUNT HOLDER/PARTICIPANT COUNTRY OF RESIDENCE; see Appendix Q for values
596-599	X(04)	AN	IDENTITY VERIFICATION METHOD; ID Verification Comments in Record X position 519-568; values include: "▉▉▉▉"= Information not Provided to Pershing "CDCR" = Compliance Data Center Inc. Report (cont.)

POSITION	PICTURE	TYPE	DESCRIPTION
			"RDCR" = Regulatory Data Corporation Report "INRV" = Internal Review "OTHR" = Other Identification Vendor
600-600	X(01)	AN	TAX ID TYPE; see Record B position 041 for values
601-609	X(09)	AN	TAX ID NUMBER
610-610	X(01)	AN	TAX EXEMPTION INDICATOR; values include: "Y" = Yes "N" = No
611-611	X(01)	AN	W-9 ON FILE; values include: "Y" = Yes "N" = No
612-615	X(04)	AN	CUSTOMER BANK CODE; for 3rd-party custodian; IBD-driven
616-647	X(32)	AN	CORPORATE/BUSINESS ID; for non-natural person only
648-649	X(02)	AN	COUNTRY OF THE FORMATION ORGANIZATION; for non-natural person only; see Appendix Q for values
650-651	X(02)	AN	STATE OF INCORPORATION/ORGANIZATION; for non-natural person only; see Appendix Q for values
			EMPLOYMENT INFORMATION
652-652	X(01)	AN	EMPLOYEE OF THIS IBD; field also in Record X; values include: "Y" = Yes; holder/participant is an employee of this IBD "N" = No; holder/participant is not employed by this IBD "U" = Unknown
653-653	X(01)	AN	RELATED TO EMPLOYEE OF THIS IBD; field also in Record X; values include: "Y" = Yes; holder is related to an employee of this IBD "N" = No; holder/participant is not related to an employee of this IBD "U" = Unknown
654-654	X(01)	AN	EMPLOYEE OF ANOTHER IBD; field also in Record X; values include: "b" = Not applicable "Y" = Yes; holder/participant is an employee of another IBD "N" = No; holder/participant is not an employee of another IBD "U" = Unknown
655-655	X(01)	AN	RELATED TO EMPLOYEE OF ANOTHER IBD; field also in Record X; values include: "b" = Not applicable "Y" = Yes; holder/participant is related to an employee of another IBD "N" = No; holder/participant is not related to an employee of another IBD "U" = Unknown
656-659	X(04)	AN	EMPLOYMENT STATUS CODE; values include: "b" = Not applicable "EMPL" = Employed "SEMP" = Self-Employed "RETD" = Retired (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"UEMP" = Unemployed "HOME" = Homemaker "STDT" = Student
660-674	X(15)	AN	OCCUPATION; free-form; can be blank
675-678	X(04)	AN	TAX BRACKET; values include: "▉" = Not applicable "LWTB" = 0-15% "MDTB" = 15.1-32% "HITB" = 32.1-50% "TPTB" = 50.1%+
679-680	9(02)	N	YEARS EMPLOYED
681-715	X(35)	AN	TYPE OF BUSINESS
716-747	X(32)	AN	EMPLOYER NAME
748-748	X(01)	AN	ACCOUNT HOLDER/PARTICIPANT DISCRETION; values include: "Y" = Yes; holder/participant has discretion "N" = No; holder/participant does not have discretion "▉" = Unknown
749-749	X(01)	AN	MARITAL STATUS; values include: "M" = Married "S" = Unmarried "D" = Divorced "W" = Widowed "P" = Domestic Partner "N" = Not applicable or Not available (not available on Interested Party) "U" = Unknown/Undetermined
750-750	X(01)	AN	Literally "X"; indicates the end of record G

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD H: ACCOUNT HOLDER/PARTICIPANT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "H"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	ACCOUNT HOLDER/ PARTICIPANT TRANSACTION CODE; values include: "X" or "🅱" = Unchanged record "A" = Add Account Holder/Participant "C" = Change existing Account Holder/Participant
ACCOUNT HOLDER/PARTICIPANT SECONDARY IDENTIFIERS			
042-044	X(03)	AN	SEQUENCE NUMBER; values are 001 through 016
045-047	X(03)	AN	ACCOUNT HOLDER TYPE; values include: "AH🅱" = Account Holder "B&R" = Books and Records participant "IPP" = Interested Party participant
BOOKS AND RECORDS DETAILS			
048-048	X(01)	AN	JOINT ACCOUNT INCOME/NET WORTH INDICATOR; values include: "Y" = Combined and reported on account level; displayed on first Account Holder/Participant only "N" = Reported on individual Account Holder/Participant level
049-066	9(16)v9(02)	N	MINIMUM ANNUAL INCOME AMOUNT
067-084	9(16)v9(02)	N	MAXIMUM ANNUAL INCOME AMOUNT
085-102	9(16)v9(02)	N	MINIMUM NET WORTH AMOUNT
103-120	9(16)v9(02)	N	MAXIMUM NET WORTH AMOUNT
TELEPHONE NUMBER (UP TO 7 TIMES); alphabetical order based on Telephone Type ID			
TELEPHONE NUMBER 1			
121-121	X(01)	AN	TELEPHONE (1) TRANSACTION CODE; values include: "X" or "🅱" = Unchanged record "A" = Add telephone number "C" = Change existing telephone number
122-122	X(01)	AN	US/INTERNATIONAL INDICATOR (1); values include: "U" = US/Canada "F" = International

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
123-123	X(01)	AN	TELEPHONE TYPE ID (1); values include: "B" = Business "C" = Cellular "E" = Beeper "F" = Fax "H" = Home "S" = Seasonal "T" = Telex "V" = Voice Mail
124-171	X(48)	AN	TELEPHONE NUMBER (1)
172-178	X(07)	AN	TELEPHONE EXTENSION (1)
TELEPHONE NUMBER 2			
179-179	X(01)	AN	TELEPHONE (2) TRANSACTION CODE; see position 121 for values
180-180	X(01)	AN	US/INTERNATIONAL INDICATOR (2); see position 122 for values
181-181	X(01)	AN	TELEPHONE TYPE ID (2); see position 123 for values
182-229	X(48)	AN	TELEPHONE NUMBER (2)
230-236	X(07)	AN	TELEPHONE EXTENSION (2)
TELEPHONE NUMBER 3			
237-237	X(01)	AN	TELEPHONE (3) TRANSACTION CODE; see position 121 for values
238-238	X(01)	AN	US/INTERNATIONAL INDICATOR (3); see position 122 for values
239-239	X(01)	AN	TELEPHONE TYPE ID (3); see position 123 for values
240-287	X(48)	AN	TELEPHONE NUMBER (3)
288-294	X(07)	AN	TELEPHONE EXTENSION (3)
TELEPHONE NUMBER 4			
295-295	X(01)	AN	TELEPHONE (4) TRANSACTION CODE; see position 121 for values
296-296	X(01)	AN	US/INTERNATIONAL INDICATOR (4); see position 122 for values
297-297	X(01)	AN	TELEPHONE TYPE ID (4); see position 123 for values
298-345	X(48)	AN	TELEPHONE NUMBER (4)
346-352	X(07)	AN	TELEPHONE EXTENSION (4)
TELEPHONE NUMBER 5			
353-353	X(01)	AN	TELEPHONE (5) TRANSACTION CODE; see position 121 for values
354-354	X(01)	AN	US/INTERNATIONAL INDICATOR (5); see position 122 for values
355-355	X(01)	AN	TELEPHONE TYPE ID (5); see position 123 for values
356-403	X(48)	AN	TELEPHONE NUMBER (5)
404-410	X(07)	AN	TELEPHONE EXTENSION (5)
TELEPHONE NUMBER 6			
411-411	X(01)	AN	TELEPHONE (6) TRANSACTION CODE; see position 121 for values
412-412	X(01)	AN	US/INTERNATIONAL INDICATOR (6); see position 122 for values
413-413	X(01)	AN	TELEPHONE TYPE ID (6); see position 123 for values
414-461	X(48)	AN	TELEPHONE NUMBER (6)
462-468	X(07)	AN	TELEPHONE EXTENSION (6)
TELEPHONE NUMBER 7			

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
469-469	X(01)	AN	TELEPHONE (7) TRANSACTION CODE; see position 121 for values
470-470	X(01)	AN	US/INTERNATIONAL INDICATOR (7); see position 122 for values
471-471	X(01)	AN	TELEPHONE TYPE ID (7); see position 123 for values
472-519	X(48)	AN	TELEPHONE NUMBER (7)
520-526	X(07)	AN	TELEPHONE EXTENSION (7)
527-527	X(01)	AN	CONSOLIDATED LIQUID NET WORTH INDICATOR; values include: "Y" = Combined and reported on Account level; displayed on first Account Holder/Participant only "N" = Reported on Individual Account Holder/Participant level
528-545	9(16)v9(02)	N	MINIMUM LIQUID NET WORTH AMOUNT
546-563	9(16)v9(02)	N	MAXIMUM LIQUID NET WORTH AMOUNT
564-568	X(05)	AN	For Pershing Internal Use Only
569-572	X(04)	AN	ACCOUNT HOLDER/PARTICIPANT ROLE CODE; see Appendix Q for values
573-582	X(10)	AN	PARTICIPANT SHORT NAME; free-form text, when available
583-583	X(01)	AN	PRIMARY MAIL RECIPIENT INDICATOR; applies to Bank Custody accounts and for CONS, CUST, GRDN and TRST Registration types only; values include: "Y" = Use this party as primary mail recipient "▓" = Not applicable
584-584	X(01)	AN	Not Used
			E-MAIL INFORMATION
585-634	X(50)	AN	E-MAIL ADDRESS
			ADDITIONAL PATRIOT ACT INFORMATION
635-638	X(04)	AN	TYPE OF UNEXPIRED PHOTO GOVERNMENT ID (1); see Appendix Q for values
639-670	X(32)	AN	UNEXPIRED PHOTO GOVERNMENT ID NUMBER (1)
671-672	X(02)	AN	COUNTRY OF UNEXPIRED PHOTO GOVERNMENT ID (1); see Appendix Q for values
673-674	X(02)	AN	STATE/PROVINCE OF UNEXPIRED PHOTO GOVERNMENT ID (1); see Appendix Q for values
675-682	9(08)	N	EXPIRATION DATE OF UNEXPIRED GOVERNMENT PHOTO ID (1), in CCYYMMDD format
683-690	9(08)	N	ISSUANCE DATE OF UNEXPIRED GOVERNMENT PHOTO ID/CORPORATE BUSINESS ID (1), in CCYYMMDD format
691-694	X(04)	AN	TYPE OF UNEXPIRED PHOTO GOVERNMENT ID (2); see Appendix Q for values
695-726	X(32)	AN	UNEXPIRED PHOTO GOVERNMENT ID NUMBER (2)
727-728	X(02)	AN	COUNTRY OF UNEXPIRED PHOTO GOVERNMENT ID (2); see Appendix Q for values
729-730	X(02)	AN	STATE/PRIMARY SUBDIVISION OF UNEXPIRED PHOTO GOVERNMENT ID (2); see Appendix Q for values
731-738	9(08)	N	EXPIRATION DATE OF UNEXPIRED GOVERNMENT PHOTO ID (2), in CCYYMMDD format

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
739-746	9(08)	N	ISSUANCE DATE OF UNEXPIRED GOVERNMENT PHOTO ID (2), in CCYYMMDD format
747-747	X(01)	AN	SPECIFIED ADULT INDICATOR; values include: "Y" = Holder/participant is a specified adult "N" = Holder/participant is not a specified adult "▉" = Not applicable or known
748-749	X(02)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record H

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Customer Account Information
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PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD X: ADDITIONAL ACCOUNT HOLDER/PARTICIPANT-LEVEL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
			RECORD X: ADDITIONAL ACCOUNT HOLDER/PARTICIPANT-LEVEL INFORMATION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "X"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "⌴"= Unchanged record "A" = Add Account Holder/Participant "C" = Change existing Account Holder/Participant
			ACCOUNT HOLDER/PARTICIPANT SECONDARY IDENTIFIERS
042-044	X(03)	AN	SEQUENCE NUMBER; values are 001 through 016
045-047	X(03)	AN	ACCOUNT HOLDER TYPE; values include: "AH⌴" = Account Holder "B&R" = Books and Records participant "IPP" = Interested Party participant
			EMPLOYER ADDRESS AREA
048-049	X(02)	AN	Not Used
050-053	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O⌴" = Care of "⌴⌴⌴⌴" = May be blank in user-titled accounts
054-081	X(28)	AN	ATTENTION LINE DETAIL
082-113	X(32)	AN	ADDRESS LINE 1
114-145	X(32)	AN	ADDRESS LINE 2
146-177	X(32)	AN	ADDRESS LINE 3; only if Attention Line is spaces
178-209	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
210-224	X(15)	AN	CITY; US/Canada addresses only
225-226	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
227-241	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
242-243	X(02)	AN	COUNTRY CODE; see Appendix Q for values
244-245	X(02)	AN	Not Used
			EMPLOYMENT and AFFILIATION INFORMATION

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
246-246	X(01)	AN	EMPLOYEE OF THIS IBD; also in Record G position 652-652; values include: "Y" = the holder/participant is an employee of this IBD "N" = the holder/participant is not an employee of this IBD "U" = Unknown
247-247	X(01)	AN	RELATED TO EMPLOYEE OF THIS IBD; field also in Record G position 653-653; values include: "Y" = the holder/participant is related to an employee of this IBD "N" = the holder/participant not related to an employee of this IBD "U" = Unknown
248-272	X(25)	AN	EMPLOYEE FIRST NAME
273-297	X(25)	AN	EMPLOYEE LAST NAME
298-301	X(04)	AN	EMPLOYEE SUFFIX
302-305	X(04)	AN	RELATIONSHIP TO EMPLOYEE; values include: "A␢␢␢" = Aunt "B␢␢␢" = Brother "D␢␢␢" = Daughter "DP␢␢" = Domestic partner "F␢␢␢" = Father "FL␢␢" = Father-in-law "FS␢␢" = Financial support provider "GF␢␢" = Grandfather "GM␢␢" = Grandmother "GD␢␢" = Granddaughter "GS␢␢" = Grandson "M␢␢␢" = Mother "ML␢␢" = Mother-in-law "NE␢␢" = Nephew "NI␢␢" = Niece "OI␢␢" = Other Individual "SI␢␢" = Sister "SO␢␢" = Son "SP␢␢" = Spouse "U␢␢␢" = Uncle
306-306	X(01)	AN	EMPLOYEE OF ANOTHER IBD; see Record 7 position 203 for Employee ID of this individual; field also in Record G position 654; values include: "␢" = Not applicable "Y" = the holder/participant is employed by another IBD "N" = the holder/participant is not an employee of another IBD "U" = Unknown
307-326	X(20)	AN	IBD NAME

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
327-327	X(01)	AN	RELATED TO EMPLOYEE OF ANOTHER IBD; see Record 7 position 223 for Employee ID of this individual; also in Record G pos. 655; values include: "▯" = Not applicable "Y" = the holder is related to an employee of another IBD "N" = the holder is not related to an employee of another IBD "U" = Unknown
328-347	X(20)	AN	IBD NAME
348-372	X(25)	AN	EMPLOYEE FIRST NAME
373-397	X(25)	AN	EMPLOYEE LAST NAME
398-401	X(04)	AN	EMPLOYEE SUFFIX
402-405	X(04)	AN	RELATIONSHIP TO EMPLOYEE OF ANOTHER IBD; see RELATIONSHIP TO EMPLOYEE; see position 302-305 for values
406-406	X(01)	AN	OTHER BROKERAGE ACCOUNTS; values include: "▯" = Not applicable or available "Y" = the holder/participant maintains other brokerage accounts "N" = the holder/participant does not maintain other brokerage accounts
407-426	X(20)	AN	NAME OF IBD WHERE ACCOUNT HELD
427-427	X(01)	AN	HOLDER/PARTICIPANT or IMMEDIATE FAMILY MEMBER AFFILIATED WITH or EMPLOYED BY MEMBER OF STOCK EXCHANGE or NASD; values include: "▯" = Not applicable or available "Y" = is affiliated or employed "N" = is not affiliated or employed
428-472	X(45)	AN	AFFILIATION
473-473	X(01)	AN	HOLDER/PARTICIPANT A SENIOR OFFICER, DIRECTOR, or 10%+ SHAREHOLDER OF A PUBLIC COMPANY; values include: "▯" = Not applicable or available "Y" = holder/participant is a senior officer, director, or 10%+ shareholder of a public company "N" = holder/participant is not a senior officer, director, or 10%+ shareholder of a public company
474-518	X(45)	AN	NAME OF PUBLIC COMPANY
ACCOUNT HOLDER/PARTICIPANT - LEVEL PATRIOT ACT ID VERIFICATION COMMENTS			
519-568	X(50)	AN	ID VERIFICATION COMMENTS; free-form
569-572	X(04)	AN	ACCOUNT HOLDER/PARTICIPANT ROLE CODE; see Appendix Q values
573-590	9(09)v9(09)	N	BENEFICIARY PERCENT ALLOCATION; only on TODI, TODJ accounts
591-592	X(02)	AN	RELATIONSHIP TO PRIMARY HOLDER CODE; values include: "CH" = Child "GC" = Grandchild "RL" = Relative "SF" = Self "SP" = Spouse "OT" = Other

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
593-682	X(90)	AN	For Pershing Internal Use Only
683-684	X(02)	AN	PRIMARY HOLDER'S RELATIONSHIP TO DECEDENT (BENEFICIARY TYPE); values include: "SP" = Spouse "OT" = Non-spouse
685-692	9(08)	N	DATE OF DEATH, in CCYYMMDD format
693-700	X(08)	AN	LARGE TRADER ID PREFIX
701-702	X(02)	AN	*Reserved*
703-706	X(04)	AN	LARGE TRADER ID SUFFIX
707-716	X(10)	AN	*Reserved*
			FINANCIAL ACCOUNT TAX COMPLIANCE ACT (FATCA) INFORMATION
717-718	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP 1; see Appendix Q for values
719-720	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP 2; see above
721-722	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP 3; see above
723-724	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP 4; see above
725-726	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP 5; see above
727-727	X(01)	AN	U.S. RESIDENT ALIEN; values include: "Y" = Resident alien "N" = Not a resident alien "ƀ" = Not available
728-729	X(02)	AN	COUNTRY OF BIRTH; see Appendix Q for values
730-730	X(01)	AN	PER STIRPES BENEFICIARY DESIGNATION; applicable only to beneficiaries on TODI and TODJ accounts; values include: "Y" = Yes "N" = No "ƀ" = Not applicable
731-739	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
740-741	X(02)	AN	Not Used
742-749	9(08)	N	FORMED ON DATE, in CCYYMMDD format; for applicable entities only
750-750	X(01)	AN	Literally "X"; indicates the end of record X

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD M: ACCOUNT HOLDER/PARTICIPANT-LEVEL INVESTMENT KNOWLEDGE

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "M"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			NEW ACCOUNT HOLDER INFORMATION
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "⬛" = Unchanged record "A" = Add Account Holder/Participant "C" = Change existing Account Holder/Participant
			ACCOUNT HOLDER/PARTICIPANT SECONDARY IDENTIFIERS
042-044	X(03)	AN	SEQUENCE NUMBER; values are 001 through 016
045-047	X(03)	AN	ACCOUNT HOLDER TYPE; values include: "AH⬛" = Account Holder "B&R" = Books and Records participant "IPP" = Interested Party participant
048-051	X(04)	AN	ACCOUNT HOLDER/PARTICIPANT (1) ROLE; see Appendix Q for values
			ACCOUNT HOLDER/PARTICIPANT INVESTMENT KNOWLEDGE
052-052	X(01)	AN	GENERAL INVESTMENT KNOWLEDGE; values include: "L" = Limited "M" = Moderate "E" = Extensive "N" = None
053-056	9(04)	N	YEAR EQUITY INVESTMENT EXPERIENCE BEGAN, in CCYY format
057-057	X(01)	AN	EQUITY INVESTMENT KNOWLEDGE CODE; see position 052 for values
058-061	9(04)	N	YEAR OPTION INVESTMENT EXPERIENCE BEGAN, in CCYY format
062-062	X(01)	AN	OPTION INVESTMENT KNOWLEDGE CODE; see position 052 for values
063-066	9(04)	N	YEAR FIXED INCOME INVESTMENT EXPERIENCE BEGAN, in CCYY format
067-067	X(01)	AN	FIXED INCOME INVESTMENT KNOWLEDGE CODE; see position 052 for values
068-071	9(04)	N	YEAR MUTUAL FUND INVESTMENT EXPERIENCE BEGAN, in CCYY format
072-072	X(01)	AN	MUTUAL FUND INVESTMENT KNOWLEDGE CODE; see position 052 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
073-076	9(04)	N	YEAR UNIT INVESTMENT TRUST (UIT) INVESTMENT EXPERIENCE BEGAN, in CCYY format
077-077	X(01)	AN	UIT INVESTMENT KNOWLEDGE CODE; see position 052 for values
078-081	9(04)	N	YEAR EXCHANGE TRADED FUND INVESTMENT EXPERIENCE BEGAN, in CCYY format
082-082	X(01)	AN	ETF INVESTMENT KNOWLEDGE CODE; see position 052 for values
083-086	9(04)	N	YEAR REAL ESTATE INVESTMENT EXPERIENCE BEGAN, in CCYY format
087-087	X(01)	AN	REAL ESTATE INVESTMENT KNOWLEDGE CODE; see position 052 for values
088-091	9(04)	N	YEAR INSURANCE INVESTMENT EXPERIENCE BEGAN, in CCYY format
092-092	X(01)	AN	INSURANCE INVESTMENT KNOWLEDGE CODE; see position 052 for values
093-096	9(04)	N	YEAR VARIABLE ANNUITY INVESTMENT EXPERIENCE BEGAN, in CCYY format
097-097	X(01)	AN	VARIABLE ANNUITY INVESTMENT KNOWLEDGE CODE; see position 052 for values
098-101	9(04)	N	YEAR FIXED ANNUITY INVESTMENT EXPERIENCE BEGAN, in CCYY format
102-102	X(01)	AN	FIXED ANNUITY INVESTMENT KNOWLEDGE CODE; see position 052 for values
103-106	9(04)	N	YEAR PRECIOUS METALS INVESTMENT EXPERIENCE BEGAN, in CCYY format
107-107	X(01)	AN	PRECIOUS METALS INVESTMENT KNOWLEDGE CODE; see position 052 for values
108-111	9(04)	N	YEAR COMMODITY AND FUTURES INVESTMENT EXPERIENCE BEGAN, in CCYY format
112-112	X(01)	AN	COMMODITY AND FUTURES INVESTMENT KNOWLEDGE CODE; see position 052 for values
113-142	X(30)	AN	OTHER INVESTMENT TYPE, free-form text
143-146	9(04)	N	YEAR OTHER TYPE INVESTMENT EXPERIENCE BEGAN, in CCYY format
147-147	X(01)	AN	OTHER INVESTMENT KNOWLEDGE CODE; see position 052 for values
148-152	X(05)	AN	*Reserved for Additional Investment Experience*
153-294	X(142)	AN	Not Used
CANADIAN REVENUE AGENCY (CRA) DOCUMENTATION			
295-298	X(04)	AN	DOCUMENT CODE; value includes: "N301" = CRA document
299-306	9(08)	N	DOCUMENT RECEIVED DATE, in CCYYMMDD format
307-314	9(08)	N	DOCUMENT EXPIRATION DATE, in CCYYMMDD format
315-334	X(20)	AN	RELATED TO EMPLOYEE OF THIS IBD's EMPLOYEE ID
335-336	9(02)	N	NUMBER OF DEPENDENTS; from 00-99
EXTERNAL BANK INFORMATION			
337-368	X(32)	AN	BANK NAME

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
369-372	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O◼" = Care of
373-400	X(28)	AN	ATTENTION LINE DETAIL
401-432	X(32)	AN	BANK ADDRESS LINE 1
433-464	X(32)	AN	BANK ADDRESS LINE 2
465-496	X(32)	AN	BANK ADDRESS LINE 3; only if Attention Line is spaces
497-528	X(32)	AN	BANK ADDRESS LINE 4; only if country is not US or Canada
529-543	X(15)	AN	CITY; US/Canada addresses only
544-545	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
546-560	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
561-562	X(02)	AN	COUNTRY CODE; see Appendix Q for values
563-709	X(147)	AN	Not Used
710-729	X(20)	AN	For Pershing Internal Use Only
730-749	X(20)	AN	CLIENT ID
750-750	X(01)	AN	Literally "X"; indicates the end of record M

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD 7: ACCOUNT HOLDER/PARTICIPANT-LEVEL INFORMATION FOR BANK CUSTODY, TRUST, AND CDD ACCOUNTS; FOR ALL REGISTRATION TYPES

RECORD 7: ACCOUNT HOLDER/PARTICIPANT-LEVEL INFORMATION FOR BANK CUSTODY, TRUST, AND CDD ACCOUNTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "7"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			NEW ACCOUNT HOLDER INFORMATION
041-041	X(01)	AN	RECORD TRANSACTION CODE; values include: "X" or "▉" = Unchanged record "A" = Add Account Holder/Participant "C" = Change existing Account Holder/Participant
			ACCOUNT HOLDER/PARTICIPANT SECONDARY IDENTIFIERS
042-044	X(03)	AN	SEQUENCE NUMBER; values are 001 through 016
045-047	X(03)	AN	ACCOUNT HOLDER TYPE; values include: "AH▉" = Account Holder "B&R" = Books and Records participant "IPP" = Interested Party participant
048-051	X(04)	AN	ACCOUNT HOLDER/PARTICIPANT (1) ROLE; see Appendix Q for values
052-052	X(01)	AN	TYPE OF TRUST; Trust Accounts only; values include: "A" = Qualified Domestic Trust "C" = Charitable Trust "D" = Defective Trust "E" = Estate Trust "F" = Family Trust "G" = Generation Skipping Trust "I" = Irrevocable Trust "L" = Living Trust "N" = Insurance Trust "P" = Special Needs Trust "Q" = QTIP or QDOT Trust "R" = Revocable Trust "S" = Statutory Trust "T" = Testamentary Trust "V" = Irrevocable Living Trust "▉" = Not applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
053-060	9(08)	N	DATE TRUST ESTABLISHED, in CCYYMMDD format; also referred to as Trust Agreement Date; Trust Accounts only
061-068	9(08)	N	TRUST AMENDMENT DATE, in CCYYMMDD format; Trust Accounts only
069-069	X(01)	AN	TRUSTEE INDEPENDENT ACTION; Trust Accounts only; values include: "N" = Cannot act independently "Y" = Can act independently
070-071	X(02)	AN	COUNTRY GOVERNING TRUST ADMINISTRATION; for both Bank Custody and Trust Accounts; field will be spaces where not applicable; see Appendix Q for values
072-073	X(02)	AN	STATE GOVERNING TRUST ADMINISTRATION; for both Bank Custody and Trust Accounts; applies to US states and Canadian provinces; field will be spaces where not applicable; see Appendix Q for values
074-074	X(01)	AN	CRUMMEY POWER PROVISION APPLIED TO THIS TRUST; for both Bank Custody and Trust Accounts; values include: "Y" = Yes; Crummey Power applied to this Trust "N" = No; Crummey Power not applied to this Trust "▒" = Not applicable
075-075	X(01)	AN	EMPLOYEE BENEFIT ACCOUNT FLAG; for both Bank Custody and Trust Accounts; values include: "Y" = Yes "N" = No "▒" = Not applicable
076-079	X(04)	AN	CREATOR OF TRUST A RESIDENT OF NEW YORK CITY OR YONKERS AT THE TIME THE TRUST WAS CREATED; for both Bank Custody and Trust Accounts; values include: "NYC▒" = Yes; creator of Trust a resident of NYC or Yonkers "▒▒▒▒" = No or Not applicable
080-083	X(04)	AN	CREATOR OF TRUST A RESIDENT OF NEW YORK CITY OR YONKERS AT THE TIME OF CREATOR'S DEATH; for both Bank Custody and Trust Accounts; values include: "NYC▒" = Yes; creator of Trust was resident of NYC or Yonkers "▒▒▒▒" = No or Not applicable
084-084	X(01)	AN	BLIND TRUST INDICATOR; for both Bank Custody and Trust Accounts; values include: "Y" = Yes; Trust is a Blind Trust "N" = No; Trust is not a Blind Trust "▒" = Not applicable
085-085	X(01)	AN	REVOCABILITY OF TRUST; for both Bank Custody and Trust Accounts; values include: "R" = Trust is Revocable "I" = Trust is Irrevocable "▒" = Not applicable
086-087	9(02)	N	MINIMUM NUMBER OF TRUSTEES REQUIRED FOR CONSENT; for both Bank Custody and Trust Accounts; values range from 00 to 99

RECORD 7: ACCOUNT HOLDER/PARTICIPANT-LEVEL INFORMATION FOR BANK CUSTODY, TRUST, AND CDD ACCOUNTS

POSITION	PICTURE	TYPE	DESCRIPTION
The following fields in positions 088-099 reference characteristics associated with Powers of the Trust			
088-088	X(01)	AN	Establish and maintain Asset Management account with check writing privileges; Trustees are responsible; for both Bank Custody and Trust Accounts; values include: "Y" = Yes "▉" = Not applicable, not answered, or No
089-089	X(01)	AN	Trust allows use of attorney-in-fact and/or power of attorney… * If acted upon, power of attorney document and affidavit as to POA being in full force (92-0480) is required; for both Bank Custody and Trust Accounts; see position 088 for values
090-090	X(01)	AN	Collateralization of Trust permitted; for both Bank Custody and Trust Accounts; see position 088 for values
091-091	X(01)	AN	Maintain margin accounts; accounts borrow to purchase securities on margin and pledge securities and all others in margin account as security to loan; for both Bank Custody and Trust Accounts; see position 088 for values
092-092	X(01)	AN	Sell securities Trust does not own (short sales) and borrow securities to facilitate practice; for both Bank Custody and Trust Accounts; see position 088 for values
093-093	X(01)	AN	Engage in purchase of call options; for both Bank Custody and Trust Accounts; see position 088 for values
094-094	X(01)	AN	Engage in covered call writing; see position 088 for values
095-095	X(01)	AN	Engage in purchase of put options; for both Bank Custody and Trust Accounts; see position 088 for values
096-096	X(01)	AN	Engage in option spread transactions; for both Bank Custody and Trust Accounts; see position 088 for values
097-097	X(01)	AN	Purchase securities which are deemed to be speculative investments; for both Bank Custody and Trust Accounts; see position 088 for values
098-098	X(01)	AN	Receive on behalf of Trust or deliver to Trust or third parties monies, stocks, bonds, and other securities; for both Bank Custody and Trust Accounts; see position 088 for values
099-099	X(01)	AN	Sell, assign, and endorse transfer certificates representing stocks, bonds, and other securities now registered or hereafter registered in name of Trust; for both Bank Custody and Trust Accounts; see position 088 for values
100-102	9(03)	N	BENEFICIAL OWNER'S (BEOW) PERCENTAGE OF OWNERSHIP; between 000-100; Customer Due Diligence (CDD) Accounts only
103-142	X(40)	AN	POSITION HELD OF CONTROLLING PERSON (CPER); Customer Due Diligence (CDD) Accounts only
143-162	X(20)	AN	LEGAL ENTITY IDENTIFIER
163-202	X(40)	AN	*Reserved*
203-222	X(20)	AN	EMPLOYEE ID; of employees of another IBD; see Record X position 306 for context
223-242	X(20)	AN	EMPLOYEE ID; of those related to employees of another IBD; see Record X, position 327 for context
243-749	X(507)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record 7

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD I: CUSTOM DATA FIELDS 1-10

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "I"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	CUSTOM FIELD 1 TRANSACTION CODE; values include: "X" or "Ь" = Unchanged record "A" = Add new Custom Field "C" = Change existing Custom Field
CUSTOM FIELD 1; Reserved for DDA Number			
042-073	X(32)	AN	CUSTOM FIELD (1) LABEL
074-105	X(32)	AN	CUSTOM FIELD (1) DETAIL TEXT
106-106	X(01)	AN	CUSTOM FIELD (1) STATUS INDICATOR; for fields 1-15; values include: "A" = Active "D" = Deleted "L" = Disabled
107-107	X(01)	AN	Not Used
CUSTOM FIELD 2; Reserved for Account Mnemonic			
108-139	X(32)	AN	CUSTOM FIELD (2) LABEL
140-171	X(32)	AN	CUSTOM FIELD (2) DETAIL TEXT
172-172	X(01)	AN	CUSTOM FIELD (2) STATUS INDICATOR
173-173	X(01)	AN	Not Used
CUSTOM FIELD 3; Reserved for Master Mnemonic			
174-205	X(32)	AN	CUSTOM FIELD (3) LABEL
206-237	X(32)	AN	CUSTOM FIELD (3) DETAIL TEXT
238-238	X(01)	AN	CUSTOM FIELD (3) STATUS INDICATOR
239-239	X(01)	AN	Not Used
CUSTOM FIELD 4; Reserved for Bank Account Number			
240-271	X(32)	AN	CUSTOM FIELD (4) LABEL
272-303	X(32)	AN	CUSTOM FIELD (4) DETAIL TEXT
304-304	X(01)	AN	CUSTOM FIELD (4) STATUS INDICATOR
305-305	X(01)	AN	Not Used
CUSTOM FIELD 5			
306-337	X(32)	AN	CUSTOM FIELD (5) LABEL
338-369	X(32)	AN	CUSTOM FIELD (5) DETAIL TEXT

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
370-370	X(01)	AN	CUSTOM FIELD (5) STATUS INDICATOR
371-371	X(01)	AN	Not Used
			CUSTOM FIELD 6
372-403	X(32)	AN	CUSTOM FIELD (6) LABEL
404-435	X(32)	AN	CUSTOM FIELD (6) DETAIL TEXT
436-436	X(01)	AN	CUSTOM FIELD (6) STATUS INDICATOR
437-437	X(01)	AN	Not Used
			CUSTOM FIELD 7
438-469	X(32)	AN	CUSTOM FIELD (7) LABEL
470-501	X(32)	AN	CUSTOM FIELD (7) DETAIL TEXT
502-502	X(01)	AN	CUSTOM FIELD (7) STATUS INDICATOR
503-503	X(01)	AN	Not Used
			CUSTOM FIELD 8
504-535	X(32)	AN	CUSTOM FIELD (8) LABEL
536-567	X(32)	AN	CUSTOM FIELD (8) DETAIL TEXT
568-568	X(01)	AN	CUSTOM FIELD (8) STATUS INDICATOR
569-569	X(01)	AN	Not Used
			CUSTOM FIELD 9
570-601	X(32)	AN	CUSTOM FIELD (9) LABEL
602-633	X(32)	AN	CUSTOM FIELD (9) DETAIL TEXT
634-634	X(01)	AN	CUSTOM FIELD (9) STATUS INDICATOR
635-635	X(01)	AN	Not Used
			CUSTOM FIELD 10
636-667	X(32)	AN	CUSTOM FIELD (10) LABEL
668-699	X(32)	AN	CUSTOM FIELD (10) DETAIL TEXT
700-700	X(01)	AN	CUSTOM FIELD (10) STATUS INDICATOR
701-749	X(49)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record I

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD J: CUSTOM DATA FIELDS 11-15

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "J"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	CUSTOM FIELD TRANSACTION CODE; see Record I position 041 for values
CUSTOM FIELD 11			
042-073	X(32)	AN	CUSTOM FIELD (11) LABEL
074-105	X(32)	AN	CUSTOM FIELD (11) DETAIL TEXT
106-106	X(01)	AN	CUSTOM FIELD (11) STATUS INDICATOR
107-107	X(01)	AN	Not Used
CUSTOM FIELD 12			
108-139	X(32)	AN	CUSTOM FIELD (12) LABEL
140-171	X(32)	AN	CUSTOM FIELD (12) DETAIL TEXT
172-172	X(01)	AN	CUSTOM FIELD (12) STATUS INDICATOR
173-173	X(01)	AN	Not Used
CUSTOM FIELD 13			
174-205	X(32)	AN	CUSTOM FIELD (13) LABEL
206-237	X(32)	AN	CUSTOM FIELD (13) DETAIL TEXT
238-238	X(01)	AN	CUSTOM FIELD (13) STATUS INDICATOR
239-239	X(01)	AN	Not Used
CUSTOM FIELD 14			
240-271	X(32)	AN	CUSTOM FIELD (14) LABEL
272-303	X(32)	AN	CUSTOM FIELD (14) DETAIL TEXT
304-304	X(01)	AN	CUSTOM FIELD (14) STATUS INDICATOR
305-305	X(01)	AN	Not Used
CUSTOM FIELD 15			
306-337	X(32)	AN	CUSTOM FIELD (15) LABEL
338-369	X(32)	AN	CUSTOM FIELD (15) DETAIL TEXT
370-370	X(01)	AN	CUSTOM FIELD (15) STATUS INDICATOR
371-371	X(01)	AN	Not Used
372-456	X(85)	AN	For Pershing Internal Use Only (PSupp)
457-749	X(293)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record J

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD K: SUPPLEMENTAL CUSTOM DATA FIELDS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "K"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	SECONDARY SEQUENCE NUMBER; values from 01-09
041-041	X(01)	AN	CUSTOM FIELD TRANSACTION CODE; see Record I position 041 for values
CUSTOM FIELDS 16, 26, 36, 46, 56, 66, 76, 86, 96			
042-073	X(32)	AN	CUSTOM FIELD LABEL
074-105	X(32)	AN	CUSTOM FIELD DETAIL TEXT
106-106	X(01)	AN	CUSTOM FIELD STATUS INDICATOR; for all fields; values include: "A" = Active "D" = Deleted "L" = Disabled
107-107	X(01)	AN	Not Used
CUSTOM FIELDS 17, 27, 37, 47, 57, 67, 77, 87, 97			
108-139	X(32)	AN	CUSTOM FIELD LABEL
140-171	X(32)	AN	CUSTOM FIELD DETAIL TEXT
172-172	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
173-173	X(01)	AN	Not Used
CUSTOM FIELDS 18, 28, 38, 48, 58, 68, 78, 88, 98			
174-205	X(32)	AN	CUSTOM FIELD LABEL
206-237	X(32)	AN	CUSTOM FIELD DETAIL TEXT
238-238	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
239-239	X(01)	AN	Not Used
CUSTOM FIELDS 19, 29, 39, 49, 59, 69, 79, 89, 99			
240-271	X(32)	AN	CUSTOM FIELD LABEL
272-303	X(32)	AN	CUSTOM FIELD DETAIL TEXT
304-304	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
305-305	X(01)	AN	Not Used
CUSTOM FIELDS 20, 30, 40, 50, 60, 70, 80, 90, 100			
306-337	X(32)	AN	CUSTOM FIELD LABEL
338-369	X(32)	AN	CUSTOM FIELD DETAIL TEXT
370-370	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
371-371	X(01)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			CUSTOM FIELDS 21, 31, 41, 51, 61, 71, 81, 91
372-403	X(32)	AN	CUSTOM FIELD LABEL
404-435	X(32)	AN	CUSTOM FIELD DETAIL TEXT
436-436	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
437-437	X(01)	AN	Not Used
			CUSTOM FIELDS 22, 32, 42, 52, 62, 72, 82, 92
438-469	X(32)	AN	CUSTOM FIELD LABEL
470-501	X(32)	AN	CUSTOM FIELD DETAIL TEXT
502-502	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
503-503	X(01)	AN	Not Used
			CUSTOM FIELDS 23, 33, 43, 53, 63, 73, 83, 93
504-535	X(32)	AN	CUSTOM FIELD LABEL
536-567	X(32)	AN	CUSTOM FIELD DETAIL TEXT
568-568	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
569-569	X(01)	AN	Not Used
			CUSTOM FIELDS 24, 34, 44, 54, 64, 74, 84, 94
570-601	X(32)	AN	CUSTOM FIELD LABEL
602-633	X(32)	AN	CUSTOM FIELD DETAIL TEXT
634-634	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
635-635	X(01)	AN	Not Used
			CUSTOM FIELDS 25, 35, 45, 55, 65, 75, 85, 95
636-667	X(32)	AN	CUSTOM FIELD LABEL
668-699	X(32)	AN	CUSTOM FIELD DETAIL TEXT
700-700	X(01)	AN	CUSTOM FIELD STATUS INDICATOR
701-749	X(49)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record K

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD L: ADVISORY ACCOUNT INFORMATION; ONLY ADVISORY ACCOUNTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "L"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	ADVISORY ACCOUNT TRANSACTION CODE; values include: "X" or "◾" = Unchanged record "A" = New record "C" = Changed record
ADVISORY ACCOUNT INFORMATION			
042-049	9(08)	N	INCEPTION DATE, in CCYYMMDD format
050-059	X(10)	AN	ADVISORY PROGRAM CODE
060-069	X(10)	AN	ADVISORY PRODUCT TYPE CODE
070-189	X(120)	AN	ADVISORY PROGRAM/PRODUCT TYPE LONG NAME
190-199	X(10)	AN	ADVISORY MONEY MANAGER CODE
200-319	X(120)	AN	ADVISORY MONEY MANAGER NAME; if applicable
320-329	X(10)	AN	ADVISORY MANAGEMENT STYLE CODE
330-449	X(120)	AN	ADVISORY MANAGEMENT STYLE; if applicable
450-749	X(300)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record L

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD N: BUSINESS PARTY REFERENTIAL INFORMATION (BPFF/BPFD FILE)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "N"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			This record will be repeated as needed; secondary sequence number has been added to position 745
			BUSINESS PARTY 1+ DETAILS
041-041	X(01)	AN	BUSINESS PARTY (1) TRANSACTION CODE; values include: "X" or "▮" = Unchanged Business Party "A" = Add Business Party "C" = Change existing Business Party "D" = Delete Business Party
042-050	X(09)	AN	BUSINESS PARTY (1) ID
051-054	X(04)	AN	BUSINESS PARTY (1) ROLE CODE; see Appendix 12 for values
055-055	X(01)	AN	BUSINESS PARTY (1) HAS DISCRETION; values include: "Y" = Business party has discretion "N" = Business party does not have discretion "▮" = Not applicable
056-062	X(07)	AN	Not Used
			BUSINESS PARTY 2+ DETAILS
063-063	X(01)	AN	BUSINESS PARTY (2) TRANSACTION CODE; see position 041 for values
064-072	X(09)	AN	BUSINESS PARTY (2) ID
073-076	X(04)	AN	BUSINESS PARTY (2) ROLE CODE; see Appendix 12 for values
077-077	X(01)	AN	BUSINESS PARTY (2) HAS DISCRETION; see position 055 for values
078-084	X(07)	AN	Not Used
			BUSINESS PARTY 3+ DETAILS
085-085	X(01)	AN	BUSINESS PARTY (3) TRANSACTION CODE; see position 041 for values
086-094	X(09)	AN	BUSINESS PARTY (3) ID
095-098	X(04)	AN	BUSINESS PARTY (3) ROLE CODE; see Appendix 12 for values
099-099	X(01)	AN	BUSINESS PARTY (3) HAS DISCRETION; see position 055 for values
100-106	X(07)	AN	Not Used
			BUSINESS PARTY 4+ DETAILS
107-107	X(01)	AN	BUSINESS PARTY (4) TRANSACTION CODE; see position 041 for values
108-116	X(09)	AN	BUSINESS PARTY (4) ID
117-120	X(04)	AN	BUSINESS PARTY (4) ROLE CODE; see Appendix 12 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
121-121	X(01)	AN	BUSINESS PARTY (4) HAS DISCRETION; see position 055 for values
122-128	X(07)	AN	Not Used
			BUSINESS PARTY 5+ DETAILS
129-129	X(01)	AN	BUSINESS PARTY (5) TRANSACTION CODE; see position 041 for values
130-138	X(09)	AN	BUSINESS PARTY (5) ID
139-142	X(04)	AN	BUSINESS PARTY (5) ROLE CODE; see Appendix 12 for values
143-143	X(01)	AN	BUSINESS PARTY (5) HAS DISCRETION; see position 055 for values
144-150	X(07)	AN	Not Used
			BUSINESS PARTY 6+ DETAILS
151-151	X(01)	AN	BUSINESS PARTY (6) TRANSACTION CODE; see position 041 for values
152-160	X(09)	AN	BUSINESS PARTY (6) ID
161-164	X(04)	AN	BUSINESS PARTY (6) ROLE CODE; see Appendix 12 for values
165-165	X(01)	AN	BUSINESS PARTY (6) HAS DISCRETION; see position 055 for values
166-172	X(07)	AN	Not Used
			BUSINESS PARTY 7+ DETAILS
173-173	X(01)	AN	BUSINESS PARTY (7) TRANSACTION CODE; see position 041 for values
174-182	X(09)	AN	BUSINESS PARTY (7) ID
183-186	X(04)	AN	BUSINESS PARTY (7) ROLE CODE; see Appendix 12 for values
187-187	X(01)	AN	BUSINESS PARTY (7) HAS DISCRETION; see position 055 for values
188-194	X(07)	AN	Not Used
			BUSINESS PARTY 8+ DETAILS
195-195	X(01)	AN	BUSINESS PARTY (8) TRANSACTION CODE; see position 041 for values
196-204	X(09)	AN	BUSINESS PARTY (8) ID
205-208	X(04)	AN	BUSINESS PARTY (8) ROLE CODE; see Appendix 12 for values
209-209	X(01)	AN	BUSINESS PARTY (8) HAS DISCRETION; see position 055 for values
210-216	X(07)	AN	Not Used
			BUSINESS PARTY 9+ DETAILS
217-217	X(01)	AN	BUSINESS PARTY (9) TRANSACTION CODE; see position 041 for values
218-226	X(09)	AN	BUSINESS PARTY (9) ID
227-230	X(04)	AN	BUSINESS PARTY (9) ROLE CODE; see Appendix 12 for values
231-231	X(01)	AN	BUSINESS PARTY (9) HAS DISCRETION; see position 055 for values
232-238	X(07)	AN	Not Used
			BUSINESS PARTY 10+ DETAILS
239-239	X(01)	AN	BUSINESS PARTY (10) TRANSACTION CODE; see position 041 for values
240-248	X(09)	AN	BUSINESS PARTY (10) ID
249-252	X(04)	AN	BUSINESS PARTY (10) ROLE CODE; see Appendix 12 for values
253-253	X(01)	AN	BUSINESS PARTY (10) HAS DISCRETION; see position 055 for values
254-260	X(07)	AN	Not Used
			BUSINESS PARTY 11+ DETAILS
261-261	X(01)	AN	BUSINESS PARTY (11) TRANSACTION CODE; see position 041 for values
262-270	X(09)	AN	BUSINESS PARTY (11) ID

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
271-274	X(04)	AN	BUSINESS PARTY (11) ROLE CODE; see Appendix 12 for values
275-275	X(01)	AN	BUSINESS PARTY (11) HAS DISCRETION; see position 055 for values
276-282	X(07)	AN	Not Used
			BUSINESS PARTY 12+ DETAILS
283-283	X(01)	AN	BUSINESS PARTY (12) TRANSACTION CODE; see position 041 for values
284-292	X(09)	AN	BUSINESS PARTY (12) ID
293-296	X(04)	AN	BUSINESS PARTY (12) ROLE CODE; see Appendix 12 for values
297-297	X(01)	AN	BUSINESS PARTY (12) HAS DISCRETION; see position 055 for values
298-304	X(07)	AN	Not Used
			BUSINESS PARTY 13+ DETAILS
305-305	X(01)	AN	BUSINESS PARTY (13) TRANSACTION CODE; see position 041 for values
306-314	X(09)	AN	BUSINESS PARTY (13) ID
315-318	X(04)	AN	BUSINESS PARTY (13) ROLE CODE; see Appendix 12 for values
319-319	X(01)	AN	BUSINESS PARTY (13) HAS DISCRETION; see position 055 for values
320-326	X(07)	AN	Not Used
			BUSINESS PARTY 14+ DETAILS
327-327	X(01)	AN	BUSINESS PARTY (14) TRANSACTION CODE; see position 041 for values
328-336	X(09)	AN	BUSINESS PARTY (14) ID
337-340	X(04)	AN	BUSINESS PARTY (14) ROLE CODE; see Appendix 12 for values
341-341	X(01)	AN	BUSINESS PARTY (14) HAS DISCRETION; see position 055 for values
342-348	X(07)	AN	Not Used
			BUSINESS PARTY 15+ DETAILS
349-349	X(01)	AN	BUSINESS PARTY (15) TRANSACTION CODE; see position 041 for values
350-358	X(09)	AN	BUSINESS PARTY (15) ID
359-362	X(04)	AN	BUSINESS PARTY (15) ROLE CODE; see Appendix 12 for values
363-363	X(01)	AN	BUSINESS PARTY (15) HAS DISCRETION; see position 055 for values
364-370	X(07)	AN	Not Used
			BUSINESS PARTY 16+ DETAILS
371-371	X(01)	AN	BUSINESS PARTY (16) TRANSACTION CODE; see position 041 for values
372-380	X(09)	AN	BUSINESS PARTY (16) ID
381-384	X(04)	AN	BUSINESS PARTY (16) ROLE CODE; see Appendix 12 for values
385-385	X(01)	AN	BUSINESS PARTY (16) HAS DISCRETION; see position 055 for values
386-392	X(07)	AN	Not Used
			BUSINESS PARTY 17+ DETAILS
393-393	X(01)	AN	BUSINESS PARTY (17) TRANSACTION CODE; see position 041 for values
394-402	X(09)	AN	BUSINESS PARTY (17) ID
403-406	X(04)	AN	BUSINESS PARTY (17) ROLE CODE; see Appendix 12 for values
407-407	X(01)	AN	BUSINESS PARTY (17) HAS DISCRETION; see position 055 for values
408-414	X(07)	AN	Not Used
			BUSINESS PARTY 18+ DETAILS
415-415	X(01)	AN	BUSINESS PARTY (18) TRANSACTION CODE; see position 041 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
416-424	X(09)	AN	BUSINESS PARTY (18) ID
425-428	X(04)	AN	BUSINESS PARTY (18) ROLE CODE; see Appendix 12 for values
429-429	X(01)	AN	BUSINESS PARTY (18) HAS DISCRETION; see position 055 for values
430-436	X(07)	AN	Not Used
			BUSINESS PARTY 19+ DETAILS
437-437	X(01)	AN	BUSINESS PARTY (19) TRANSACTION CODE; see position 041 for values
438-446	X(09)	AN	BUSINESS PARTY (19) ID
447-450	X(04)	AN	BUSINESS PARTY (19) ROLE CODE; see Appendix 12 for values
451-451	X(01)	AN	BUSINESS PARTY (19) HAS DISCRETION; see position 055 for values
452-458	X(07)	AN	Not Used
			BUSINESS PARTY 20+ DETAILS
459-459	X(01)	AN	BUSINESS PARTY (20) TRANSACTION CODE; see position 041 for values
460-468	X(09)	AN	BUSINESS PARTY (20) ID
469-472	X(04)	AN	BUSINESS PARTY (20) ROLE CODE; see Appendix 12 for values
473-473	X(01)	AN	BUSINESS PARTY (20) HAS DISCRETION; see position 055 for values
474-480	X(07)	AN	Not Used
			BUSINESS PARTY 21+ DETAILS
481-481	X(01)	AN	BUSINESS PARTY (21) TRANSACTION CODE; see position 041 for values
482-490	X(09)	AN	BUSINESS PARTY (21) ID
491-494	X(04)	AN	BUSINESS PARTY (21) ROLE CODE; see Appendix 12 for values
495-495	X(01)	AN	BUSINESS PARTY (21) HAS DISCRETION; see position 055 for values
496-502	X(07)	AN	Not Used
			BUSINESS PARTY 22+ DETAILS
503-503	X(01)	AN	BUSINESS PARTY (22) TRANSACTION CODE; see position 041 for values
504-512	X(09)	AN	BUSINESS PARTY (22) ID
513-516	X(04)	AN	BUSINESS PARTY (22) ROLE CODE; see Appendix 12 for values
517-517	X(01)	AN	BUSINESS PARTY (22) HAS DISCRETION; see position 055 for values
518-524	X(07)	AN	Not Used
			BUSINESS PARTY 23+ DETAILS
525-525	X(01)	AN	BUSINESS PARTY (23) TRANSACTION CODE; see position 041 for values
526-534	X(09)	AN	BUSINESS PARTY (23) ID
535-538	X(04)	AN	BUSINESS PARTY (23) ROLE CODE; see Appendix 12 for values
539-539	X(01)	AN	BUSINESS PARTY (23) HAS DISCRETION; see position 055 for values
540-546	X(07)	AN	Not Used
			BUSINESS PARTY 24+ DETAILS
547-547	X(01)	AN	BUSINESS PARTY (24) TRANSACTION CODE; see position 041 for values
548-556	X(09)	AN	BUSINESS PARTY (24) ID
557-560	X(04)	AN	BUSINESS PARTY (24) ROLE CODE; see Appendix 12 for values
561-561	X(01)	AN	BUSINESS PARTY (24) HAS DISCRETION; see position 055 for values
562-568	X(07)	AN	Not Used
			BUSINESS PARTY 25+ DETAILS

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
569-569	X(01)	AN	BUSINESS PARTY (25) TRANSACTION CODE; see position 041 for values
570-578	X(09)	AN	BUSINESS PARTY (25) ID
579-582	X(04)	AN	BUSINESS PARTY (25) ROLE CODE; see Appendix 12 for values
583-583	X(01)	AN	BUSINESS PARTY (25) HAS DISCRETION; see position 055 for values
584-590	X(07)	AN	Not Used
			BUSINESS PARTY 26+ DETAILS
591-591	X(01)	AN	BUSINESS PARTY (26) TRANSACTION CODE; see position 041 for values
592-600	X(09)	AN	BUSINESS PARTY (26) ID
601-604	X(04)	AN	BUSINESS PARTY (26) ROLE CODE; see Appendix 12 for values
605-605	X(01)	AN	BUSINESS PARTY (26) HAS DISCRETION; see position 055 for values
606-612	X(07)	AN	Not Used
			BUSINESS PARTY 27+ DETAILS
613-613	X(01)	AN	BUSINESS PARTY (27) TRANSACTION CODE; see position 041 for values
614-622	X(09)	AN	BUSINESS PARTY (27) ID
623-626	X(04)	AN	BUSINESS PARTY (27) ROLE CODE; see Appendix 12 for values
627-627	X(01)	AN	BUSINESS PARTY (27) HAS DISCRETION; see position 055 for values
628-634	X(07)	AN	Not Used
			BUSINESS PARTY 28+ DETAILS
635-635	X(01)	AN	BUSINESS PARTY (28) TRANSACTION CODE; see position 041 for values
636-644	X(09)	AN	BUSINESS PARTY (28) ID
645-648	X(04)	AN	BUSINESS PARTY (28) ROLE CODE; see Appendix 12 for values
649-649	X(01)	AN	BUSINESS PARTY (28) HAS DISCRETION; see position 055 for values
650-656	X(07)	AN	Not Used
			BUSINESS PARTY 29+ DETAILS
657-657	X(01)	AN	BUSINESS PARTY (29) TRANSACTION CODE; see position 041 for values
658-666	X(09)	AN	BUSINESS PARTY (29) ID
667-670	X(04)	AN	BUSINESS PARTY (29) ROLE CODE; see Appendix 12 for values
671-671	X(01)	AN	BUSINESS PARTY (29) HAS DISCRETION; see position 055 for values
672-678	X(07)	AN	Not Used
			BUSINESS PARTY 30+ DETAILS
679-679	X(01)	AN	BUSINESS PARTY (30) TRANSACTION CODE; see position 041 for values
680-688	X(09)	AN	BUSINESS PARTY (30) ID
689-692	X(04)	AN	BUSINESS PARTY (30) ROLE CODE; see Appendix 12 for values
693-693	X(01)	AN	BUSINESS PARTY (30) HAS DISCRETION; see position 055 for values
694-700	X(07)	AN	Not Used
			BUSINESS PARTY 31+ DETAILS
701-701	X(01)	AN	BUSINESS PARTY (31) TRANSACTION CODE; see position 041 for values
702-710	X(09)	AN	BUSINESS PARTY (31) ID
711-714	X(04)	AN	BUSINESS PARTY (31) ROLE CODE; see Appendix 12 for values
715-715	X(01)	AN	BUSINESS PARTY (31) HAS DISCRETION; see position 055 for values
716-722	X(07)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			BUSINESS PARTY 32+ DETAILS
723-723	X(01)	AN	BUSINESS PARTY (32) TRANSACTION CODE; see position 041 for values
724-732	X(09)	AN	BUSINESS PARTY (32) ID
733-736	X(04)	AN	BUSINESS PARTY (32) ROLE CODE; see Appendix 12 for values
737-737	X(01)	AN	BUSINESS PARTY (32) HAS DISCRETION; see position 055 for values
738-744	X(07)	AN	Not Used
745-749	9(05)	N	SECONDARY SEQUENCE NUMBER, begins with 00001
750-750	X(01)	AN	Literally "X"; indicates the end of record N

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD P: ACCOUNT SETTLEMENT INSTRUCTION INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
			RECORD P: ACCOUNT SETTLEMENT INSTRUCTION INFORMATION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "P"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			GENERAL INFORMATION
041-046	X(06)	AN	PARENT ID
047-054	X(08)	AN	INSTITUTION ID
055-070	X(16)	AN	INSTITUTION (IA) ACCOUNT NUMBER
071-078	X(08)	AN	ALERT ACRONYM
079-090	X(12)	AN	ALERT ACCESS CODE
091-091	X(01)	AN	CONFIRMATION OPTION; values include: "1" = Confirm Only (default for DTC) "7" = ID Confirm and Hard Copy; applicable to DTC only "3" = Hard Copy Confirm Only (default for non-DTC); applicable to non-DTC
092-099	9(08)	N	BIRTH DATE, in CCYYMMDD format
100-103	X(04)	AN	Not Used
104-105	X(02)	AN	COUNTRY OF CITIZENSHIP CODE (COD); see Appendix Q for values
			DTC INSTRUCTIONS
106-106	X(01)	AN	DTC TRANSACTION CODE; values include: "X" or "ⓑ" = Unchanged record "A" = Add location "C" = Change existing location
107-110	X(04)	AN	LOCATION/PRODUCT CODE; values include: "DTCⓑ" = Depository Trust Company
111-118	X(08)	AN	INSTITUTION NUMBER
119-158	X(40)	AN	INSTITUTION NAME
159-166	X(08)	AN	AGENT NUMBER
167-206	X(40)	AN	AGENT NAME
207-222	X(16)	AN	AGENT INTERNAL NUMBER
223-272	X(50)	AN	AGENT INTERNAL NAME; free-form text
273-280	X(08)	AN	CLEARING AGENT NUMBER
281-315	X(35)	AN	CLEARING AGENT NAME
316-323	X(08)	AN	FIRST DTC IP NUMBER
324-346	X(23)	AN	FIRST IP ACCOUNT NUMBER

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
347-354	X(08)	AN	SECOND DTC IP NUMBER
355-377	X(23)	AN	SECOND IP ACCOUNT NUMBER
			FED/UST/GNMA/ALL OTHER INSTRUCTIONS
378-378	X(01)	AN	FED TRANSACTION CODE; see position 106 for values
379-382	X(04)	AN	LOCATION/PRODUCT CODE; values include: "FED🅱" = The Federal Reserve Bank of New York
383-391	X(09)	AN	ABA NUMBER
392-431	X(40)	AN	INTERNAL ACCOUNT NUMBER; free-form text
432-481	X(50)	AN	FEDERAL WIRE BANK NAME; free-form text
			EUROCLEAR INSTRUCTIONS
482-482	X(01)	AN	EUR TRANSACTION CODE; see position 106 for values
483-486	X(04)	AN	LOCATION/PRODUCT CODE; values include: "EUR🅱" = Euroclear
487-494	X(08)	AN	EUROCLEAR NUMBER
495-509	X(15)	AN	EUROCLEAR ACCOUNT NUMBER
			CEDEL INSTRUCTIONS
510-510	X(01)	AN	CED TRANSACTION CODE; see position 106 for values
511-514	X(04)	AN	LOCATION/PRODUCT CODE; values include: "CED🅱" = CEDEL
515-522	X(08)	AN	CEDEL NUMBER
523-537	X(15)	AN	CEDEL ACCOUNT NUMBER
			PHYSICAL INSTRUCTIONS
538-538	X(01)	AN	PHY TRANSACTION CODE; see position 106 for values
539-542	X(04)	AN	LOCATION/PRODUCT CODE; value includes: "PHY🅱" = Physical
543-557	X(15)	AN	ACCOUNT NUMBER FOR PHYSICAL DELIVERY
558-589	X(32)	AN	OTHER INSTRUCTIONS 1
590-621	X(32)	AN	OTHER INSTRUCTIONS 2
622-653	X(32)	AN	OTHER INSTRUCTIONS 3
654-685	X(32)	AN	OTHER INSTRUCTIONS 4
686-717	X(32)	AN	OTHER INSTRUCTIONS 5
718-749	X(32)	AN	OTHER INSTRUCTIONS 6
750-750	X(01)	AN	Literally "X"; indicates the end of record P

DETAIL RECORD R: RETIREMENT ACCOUNT INFORMATION

RECORD R: RETIREMENT ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "R"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	RETIREMENT ACCOUNT TRANSACTION CODE; values include: "X" or "Ƅ" = Unchanged record "A" = Add location "C" = Change existing location
042-042	X(01)	AN	PARTICIPANT MARITAL STATUS; values include: "M" = Married "S" = Single "Ƅ" = N/A to Trust, Omnibus, Estate or Other Entity
043-043	X(01)	AN	SEX OF PARTICIPANT; values include: "F" = Female "M" = Male "U" = Unknown/undetermined
044-047	X(04)	AN	CUSTODIAN CODE; other IBD-specific values assigned; values include: "AƄƄƄ" = Pershing LLC B1 Account
			See Record 4 position 575 for Assets associated with Retirement Plan
048-051	X(04)	AN	TYPE OF RETIREMENT PLAN; values include: "1ƄƄƄ" = IRA "2ƄƄƄ" = SEP-IRA (IRS-5305) "4ƄƄƄ" = Flexible Profit Sharing "5ƄƄƄ" = Non-standardized Profit Sharing "6ƄƄƄ" = Flexible Target Benefit "7ƄƄƄ" = Non-standardized Target Benefit "8ƄƄƄ" = Flexible Money Purchase "9ƄƄƄ" = Non-standardized Money Purchase "AƄƄƄ" = Salary Deferral SARSEP "BƄƄƄ" = Flexible 401(k) "CƄƄƄ" = Non-standardized 401(k) "DƄƄƄ" = Age Weighted 401(k) (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"E ƀ ƀ ƀ" = Age Weighted Profit Sharing
			"F ƀ ƀ ƀ" = Super Simplified Profit Sharing
			"G ƀ ƀ ƀ" = Super Simplified Money Purchase
			"H ƀ ƀ ƀ" = 403(b)7 non ERISA
			"I ƀ ƀ ƀ" = 403(b)7 ERISA
			"J ƀ ƀ ƀ" = Prototype SEP
			"K ƀ ƀ ƀ" = Simple 401(k)
			"L ƀ ƀ ƀ" = Simple IRA
			"O ƀ ƀ ƀ" = Individual 401(k)
			"R ƀ ƀ ƀ" = Roth IRA
			"S ƀ ƀ ƀ" = Education Savings Account
			"T ƀ ƀ ƀ" = Roth Conversion
052-052	X(01)	AN	TYPE OF RETIREMENT ACCOUNT; values include: "1" = Participant "2" = Spousal "3" = Rollover "4" = Inherited "5" = Employer "6" = Guardian "7" = Omnibus "8" = Inherited Individual "9" = Inherited Estate "A" = Inherited Trust "B" = Inherited Charity "C" = Inherited Guardian "D" = Roth Participant "F" = Roth Guardian "G" = Roth Omnibus "H" = Roth Inherited Individual "I" = Roth Inherited Estate "J" = Roth Inherited Trust "K" = Roth Inherited Charity "L" = Roth Inherited Guardian
053-062	X(10)	AN	RETIREMENT PLAN NUMBER
063-063	X(01)	AN	SELF-DIRECTED INDICATOR; values include: "Y" = Yes "N" = No
064-064	X(01)	AN	ASSET WILL INDICATOR; values include: "Y" = Yes "N" = No

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			DATES
065-072	9(08)	N	BROKER DEALER CONVERSION DATE, in CCYYMMDD
073-080	9(08)	N	ADOPTION AGREEMENT DATE, in CCYYMMDD format
081-088	9(08)	N	DATE PLAN ESTABLISHED, in CCYYMMDD format
089-096	9(08)	N	CUSTODIAN DATE, in CCYYMMDD format
097-104	9(08)	N	PLAN AMENDMENT DATE, in CCYYMMDD format
105-112	9(08)	N	SPOUSAL CONSENT DATE, in CCYYMMDD format
113-113	X(01)	AN	EDUCATION DISABILITY INDICATOR; values include: "Y" = Yes; Account Holder has special needs "N" = No; Does not apply
114-121	9(08)	N	DISABILITY START DATE, in CCYYMMDD format
122-129	9(08)	N	DATE OF DEATH, in CCYYMMDD format
130-138	X(09)	AN	RELATED BROKERAGE ACCOUNT NUMBER 1; retail account number
139-147	X(09)	AN	RELATED BROKERAGE ACCOUNT NUMBER 2; related spousal account number
148-156	X(09)	AN	RELATED BROKERAGE ACCOUNT NUMBER 3; related account number other than retail or spousal
			EMPLOYER INFORMATION AND ADDRESS
157-188	X(32)	AN	EMPLOYER NAME; free-form text
189-197	9(09)	N	EMPLOYER TIN
198-229	X(32)	AN	TRUST ADMINISTRATOR; free-form text
230-230	X(01)	AN	EMPLOYER ADDRESS TRANSACTION CODE; values include: "X" or "▌b▐" = Unchanged record "A" = Add new information "C" = Change existing information
231-231	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No special handling required for this address "Y" = Special handling required for this address
232-235	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O▌b▐" = Care of "▌b▐▌b▐▌b▐▌b▐" = May be blank in user-titled accounts
236-263	X(28)	AN	EMPLOYER ATTENTION LINE DETAIL
264-295	X(32)	AN	EMPLOYER ADDRESS LINE 1
296-327	X(32)	AN	EMPLOYER ADDRESS LINE 2
328-359	X(32)	AN	EMPLOYER ADDRESS LINE 3; only if Attention Line is spaces
360-391	X(32)	AN	EMPLOYER ADDRESS LINE 4; only if not US or Canada
392-406	X(15)	AN	CITY; US/Canada addresses only
407-408	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
409-423	X(15)	AN	ZIP; US/Canada addresses only
424-425	X(02)	AN	COUNTRY CODE; see Appendix Q for values
426-525	X(100)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
E-MAIL INFORMATION			
526-575	X(50)	AN	E-MAIL ADDRESS
EMPLOYER TELEPHONE NUMBERS (UP TO 7 TIMES); alphabetical order based on Telephone Type ID			
TELEPHONE NUMBER 1			
576-576	X(01)	AN	TELEPHONE (1) TRANSACTION CODE; values include: "X" or "b" = Unchanged record "A" = Add new phone number information "C" = Change existing phone number information
577-577	X(01)	AN	US/INTERNATIONAL INDICATOR (1); values include: "U" = US/Canada "F" = International
578-578	X(01)	AN	TELEPHONE TYPE ID (1); values include: "B" = Business "C" = Cellular "E" = Beeper "F" = Fax "H" = Home "S" = Seasonal "T" = Telex "V" = Voice Mail
579-638	X(60)	AN	TELEPHONE NUMBER (1)
639-645	X(07)	AN	TELEPHONE EXTENSION (1)
TELEPHONE NUMBER 2			
646-646	X(01)	AN	TELEPHONE (2) TRANSACTION CODE; see position 576 for values
647-647	X(01)	AN	US/INTERNATIONAL INDICATOR (2); see position 577 for values
648-648	X(01)	AN	TELEPHONE TYPE ID (2); see position 578 for values
649-708	X(60)	AN	TELEPHONE NUMBER (2)
709-715	X(07)	AN	TELEPHONE EXTENSION (2)
716-716	X(01)	AN	MUTUAL FUND INDICATOR; values include: "Y" = Account is restricted to mutual fund transactions only "N" = Account is not restricted to mutual fund transactions
717-748	X(32)	AN	For Pershing Internal Use Only
749-749	X(01)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record R

DETAIL RECORD S: RETIREMENT ACCOUNT INFORMATION; ADDITIONAL NUMBER INFORMATION

RECORD S: RETIREMENT ACCOUNT INFORMATION; ADDITIONAL NUMBER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "S"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			TELEPHONE NUMBER 3
041-041	X(01)	AN	TELEPHONE (3) TRANSACTION CODE; see Record R position 576 for values
042-042	X(01)	AN	US/INTERNATIONAL INDICATOR (3); see Record R position 577 for values
043-043	X(01)	AN	TELEPHONE TYPE ID (3); see Record R position 578 for values
044-103	X(60)	AN	TELEPHONE NUMBER (3)
104-110	X(07)	AN	TELEPHONE EXTENSION (3)
			TELEPHONE NUMBER 4
111-111	X(01)	AN	TELEPHONE (4) TRANSACTION CODE; see Record R position 576 for values
112-112	X(01)	AN	US/INTERNATIONAL INDICATOR (4); see Record R position 577 for values
113-113	X(01)	AN	TELEPHONE TYPE ID (4); see Record R position 578 for values
114-173	X(60)	AN	TELEPHONE NUMBER (4)
174-180	X(07)	AN	TELEPHONE EXTENSION (4)
			TELEPHONE NUMBER 5
181-181	X(01)	AN	TELEPHONE (5) TRANSACTION CODE; see Record R position 576 for values
182-182	X(01)	AN	US/INTERNATIONAL INDICATOR (5); see Record R position 577 for values
183-183	X(01)	AN	TELEPHONE TYPE ID (5); see Record R position 578 for values
184-243	X(60)	AN	TELEPHONE NUMBER (5)
244-250	X(07)	AN	TELEPHONE EXTENSION (5)
			TELEPHONE NUMBER 6
251-251	X(01)	AN	TELEPHONE (6) TRANSACTION CODE; see Record R position 576 for values
252-252	X(01)	AN	US/INTERNATIONAL INDICATOR (6); see Record R position 577 for values
253-253	X(01)	AN	TELEPHONE TYPE ID (6); see Record R position 578 for values
254-313	X(60)	AN	TELEPHONE NUMBER (6)
314-320	X(07)	AN	TELEPHONE EXTENSION (6)
			TELEPHONE NUMBER 7

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
321-321	X(01)	AN	TELEPHONE (7) TRANSACTION CODE; see Record R position 576 for values
322-322	X(01)	AN	US/INTERNATIONAL INDICATOR (7); see Record R position 577 for values
323-323	X(01)	AN	TELEPHONE TYPE ID (7); see Record R, position 578 for values
324-383	X(60)	AN	TELEPHONE NUMBER (7)
384-390	X(07)	AN	TELEPHONE EXTENSION (7)
391-412	X(22)	AN	Not Used
413-420	9(08)	N	ORIGINAL BENEFICIARY DATE OF BIRTH FOR RMD CALCULATION, in CCYYMMDD format
421-749	X(329)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record S

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			RECORD T: BENEFICIARY INFORMATION; UP TO 10 PRIMARY AND 10 CONTINGENTS
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "T"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			BENEFICIARY NAME AREA
			Accounts can have up to 10 primary ("P") and 10 contingent ("C") beneficiaries; first are primary beneficiaries beginning with sequence number 001; contingent beneficiaries immediately follow the final primary beneficiary and begin with 001
041-041	X(01)	AN	BENEFICIARY TRANSACTION CODE; values include: "X" or "Ƀ" = Unchanged record "A" = Add new beneficiary "C" = Change existing beneficiary
042-042	X(01)	AN	BENEFICIARY TYPE; values include: "P" = Primary Beneficiary "C" = Contingent Beneficiary
043-045	X(03)	AN	SEQUENCE NUMBER; values are 001 to 010
046-048	X(03)	AN	Not Used
049-050	X(02)	AN	BENEFICIARY RELATIONSHIP INDICATOR; values include: "BƂ" = Brother "CC" = Children per Capita "CS" = Children per Stirpes "DƂ" = Daughter "DP" = Domestic Partner "EƂ" = Estate; Not applicable for Contingent Beneficiary "FƂ" = Father "FL" = Father-in-law "GD" = Granddaughter "GF" = Grandfather "GM" = Grandmother "GS" = Grandson "MƂ" = Mother "ML" = Mother-in-law "NE" = Nephew "NI" = Niece "OƂ" = Omnibus (cont.)

RECORD T: BENEFICIARY INFORMATION; UP TO 10 PRIMARY AND 10 CONTINGENTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"OE" = Other Entity; not applicable for contingent beneficiary
			"OI" = Other Individual
			"OT" = Other
			"SI" = Sister
			"SO" = Son
			"SP" = Spouse
			"T␣" = Trust Entity; N/A for contingent beneficiary; if trust, see Record V
051-052	X(02)	AN	PRIMARY COUNTRY OF CITIZENSHIP; see Appendix Q for values
053-058	X(06)	AN	Not Used
059-059	X(01)	AN	SEX OF BENEFICIARY; values include: "F" = Female "M" = Male "U" = Unknown/undetermined
060-067	9(08)	N	BENEFICIARY BIRTH DATE, in CCYYMMDD format
068-068	X(01)	AN	TAX ID TYPE; see Record B position 041 for values
069-077	X(09)	AN	BENEFICIARY TAX ID NUMBER
078-095	9(09)v(09)	N	PERCENT ALLOCATION
		BENEFICIARY NAME INFORMATION	
096-096	X(01)	AN	BENEFICIARY NAME TYPE; values include: "I" = Individual "E" = Entity
097-128	X(32)	AN	BENEFICIARY PREFIX/ENTITY LINE 1; if Name Type field in pos. 096=I, one of the following values will be used; second 4 characters can be used for suffix and remaining 24 blank; if Name Type field=E, field is free-form and can be blank "␣␣␣␣" "DR␣␣" "MDM␣" "MR␣␣" "MS␣␣" "MRS␣" "SIR␣"
129-160	X(32)	AN	BENEFICIARY FIRST NAME/ENTITY LINE 2; if Name Type field in pos. 096=I, field contains name; if Name Type=E, field is free-form and can be blank
161-192	X(32)	AN	BENEFICIARY MIDDLE INITIAL/NAME/ ENTITY LINE 3; see position 129-160 for field logic
193-224	X(32)	AN	BENEFICIARY LAST NAME/ENTITY LINE 4; see position 129-160 for field logic
225-227	X(03)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
BENEFICIARY MAILING ADDRESS; see Record U position 459 for Legal Address			
228-228	X(01)	AN	BENEFICIARY ADDRESS TRANSACTION CODE; values include: "X" or "b" = Unchanged record "A" = Add new information "C" = Change existing information
229-229	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No Special Handling Required for this Address "Y" = Special Handling Required for this Address
230-233	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O b" = Care of "b b b b" = May be blank in user-titled accounts
234-261	X(28)	AN	BENEFICIARY ATTENTION LINE DETAIL
262-293	X(32)	AN	BENEFICIARY ADDRESS LINE 1
294-325	X(32)	AN	BENEFICIARY ADDRESS LINE 2
326-357	X(32)	AN	BENEFICIARY ADDRESS LINE 3; only if attention line information is spaces
358-389	X(32)	AN	BENEFICIARY ADDRESS LINE 4; if not US or Canada
Positions 390-423 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
390-404	X(15)	AN	CITY; US/Canada addresses only
405-406	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
407-421	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
390-421	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
422-423	X(02)	AN	COUNTRY CODE; see Appendix Q for values
424-424	X(01)	AN	Not Used
BENEFICIARY TELEPHONE NUMBERS (up to 7 occurrences); alphabetical order based on Telephone Type ID			
TELEPHONE NUMBER 1			
425-425	X(01)	AN	BENEFICIARY (1) PHONE TRANSACTION CODE; values include: "X" or "b" = Unchanged record "A" = Add new phone number information "C" = Change existing phone number information
426-426	X(01)	AN	US/INTERNATIONAL INDICATOR (1); values include: "U" = US/Canada "F" = International
427-427	X(01)	AN	TELEPHONE TYPE ID (1); values include: "B" = Business "C" = Cellular "E" = Beeper "F" = Fax "H" = Home "S" = Seasonal "T" = Telex "V" = Voice Mail

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
428-487	X(60)	AN	TELEPHONE NUMBER (1)
488-494	X(07)	AN	TELEPHONE EXTENSION (1)
			TELEPHONE NUMBER 2
495-495	X(01)	AN	BENEFICIARY (2) TELEPHONE TRANSACTION CODE; see pos. 425 for values
496-496	X(01)	AN	US/INTERNATIONAL INDICATOR (2); see position 426 for values
497-497	X(01)	AN	TELEPHONE TYPE ID (2); see position 427 for values
498-557	X(60)	AN	TELEPHONE NUMBER (2)
558-564	X(07)	AN	TELEPHONE EXTENSION (2)
			TELEPHONE NUMBER 3
565-565	X(01)	AN	BENEFICIARY (3) TELEPHONE TRANSACTION CODE; see position 425 for values
566-566	X(01)	AN	US/INTERNATIONAL INDICATOR (3); see position 426 for values
567-567	X(01)	AN	TELEPHONE TYPE ID (3); see position 427 for values
568-627	X(60)	AN	TELEPHONE NUMBER (3)
628-634	X(07)	AN	TELEPHONE EXTENSION (3)
635-652	9(16)v9(02)	N	BENEFICIARY PAYMENT AMOUNT
653-653	X(01)	AN	PER STIRPES BENEFICIARY DESIGNATION; values include: "Y" = Yes "N" = No "▩" = Not applicable
654-673	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
674-682	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
683-683	X(01)	AN	TYPE OF TRUST, effective Q3 2022; field valid when beneficiary is a Trust; see Record A, position 242 for values
684-691	9(08)	N	DATE TRUST ESTABLISHED, in CCYYMMDD format, effective Q3 2022; field valid when beneficiary is a Trust
692-749	X(58)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record T

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Customer Account Information
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PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD U: BENEFICIARY INFORMATION; UP TO 10 PRIMARY AND 10 CONTINGENTS; INCLUDES ALTERNATE FIRST BENEFICIARY TRUSTEE IF POPULATED

RECORD U: BENEFICIARY INFORMATION; UP TO 10 PRIMARY AND 10 CONTINGENTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "U"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
041-041	X(01)	AN	BENEFICIARY TRANSACTION CODE; see Record T position 041 for values
042-042	X(01)	AN	BENEFICIARY TYPE; see Record T position 042 for values
043-045	X(03)	AN	SEQUENCE NUMBER; values are 001 to 010
046-048	X(03)	AN	Not Used
TELEPHONE NUMBER 4			
049-049	X(01)	AN	BENEFICIARY (4) TELEPHONE TRANSACTION CODE; see Record T position 425 for values
050-050	X(01)	AN	US/INTERNATIONAL INDICATOR (4); see Record T position 426 for values
051-051	X(01)	AN	TELEPHONE TYPE ID (4); see Record T position 427 for values
052-111	X(60)	AN	TELEPHONE NUMBER (4)
112-118	X(07)	AN	TELEPHONE EXTENSION (4)
TELEPHONE NUMBER 5			
119-119	X(01)	AN	BENEFICIARY (5) TELEPHONE TRANSACTION CODE; see Record T position 425 for values
120-120	X(01)	AN	US/INTERNATIONAL INDICATOR (5); see Record T position 426 for values
121-121	X(01)	AN	TELEPHONE TYPE ID (5); see Record T position 427 for values
122-181	X(60)	AN	TELEPHONE NUMBER (5)
182-188	X(07)	AN	TELEPHONE EXTENSION (5)
TELEPHONE NUMBER 6			
189-189	X(01)	AN	BENEFICIARY (6) TELEPHONE TRANSACTION CODE; see Record T position 425 for values
190-190	X(01)	AN	US/INTERNATIONAL INDICATOR (6); see Record T position 426 for values
191-191	X(01)	AN	TELEPHONE TYPE ID (6); see Record T position 427 for values
192-251	X(60)	AN	TELEPHONE NUMBER (6)
252-258	X(07)	AN	TELEPHONE EXTENSION (6)
TELEPHONE NUMBER 7			
259-259	X(01)	AN	BENEFICIARY (7) TELEPHONE TRANSACTION CODE; see Record T position 425 for values
260-260	X(01)	AN	US/INTERNATIONAL INDICATOR (7); see Record T position 426 for values
261-261	X(01)	AN	TELEPHONE TYPE ID (7); see Record T position 427 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
262-321	X(60)	AN	TELEPHONE NUMBER (7)
322-328	X(07)	AN	TELEPHONE EXTENSION (7)
			TRUSTEE INFORMATION
			Below fields will populate when Beneficiary Relationship = "T", otherwise positions 329-458 will be spaces
329-329	X(01)	AN	BENEFICIARY TRUST TRANSACTION CODE RECORD U; values include: "X" or "▊" = Unchanged record "A" = Add new trustee "C" = Change existing trustee
			BENEFICIARY TRUSTEE (1) NAME INFORMATION
330-330	X(01)	AN	BENEFICIARY TRUSTEE (1) NAME TYPE CODE; values include: "I" = Individual "E" = Entity
331-362	X(32)	AN	BENEFICIARY TRUSTEE (1) PREFIX/ENTITY LINE 1; if Name Type code field is "I" then one of the following values will be used; second 4 characters can be used for suffix, and remaining 24 characters are blank; if Name Type is "E" then field is free-form and can be blank; values include: "▊ ▊ ▊ ▊" "DR▊ ▊" "MDM▊" "MR▊ ▊" "MS▊ ▊" "MRS▊" "SIR▊"
363-394	X(32)	AN	BENEFICIARY TRUSTEE (1) FIRST NAME/ENTITY LINE 2; if Name Type code field is "I" then field contains name with only the first 15 characters filled; if Name Type is "E" then field is free-form and can be blank
395-426	X(32)	AN	BENEFICIARY TRUSTEE (1) MIDDLE INITIAL/NAME/ ENTITY LINE 3; if Name Type code field "I" then field contains name with only the first character filled; if Name Type is "E" then field is free-form and can be blank
427-458	X(32)	AN	BENEFICIARY TRUSTEE (1) LAST NAME/ ENTITY LINE 4; if Name Type code field "I" field contains name; if Name Type is "E" field is free-form and can be blank
			BENEFICIARY LEGAL ADDRESS; see Record T, position 228, for Mailing Address
459-459	X(01)	AN	BENEFICIARY ADDRESS TRANSACTION CODE; values include: "X" or "▊" = Unchanged record "A" = Add new information "C" = Change existing information
460-460	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No Special Handling Required for this Address "Y" = Special Handling Required for this Address

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
461-464	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O ⓑ" = Care of "ⓑ ⓑ ⓑ ⓑ" = May be blank in user-titled accounts
465-492	X(28)	AN	BENEFICIARY ATTENTION LINE DETAIL
493-524	X(32)	AN	BENEFICIARY ADDRESS LINE 1
525-556	X(32)	AN	BENEFICIARY ADDRESS LINE 2
557-588	X(32)	AN	BENEFICIARY ADDRESS LINE 3; only if attention line information is spaces
589-620	X(32)	AN	BENEFICIARY ADDRESS LINE 4; if not US or Canada
Positions 621-652 are redefined to accommodate both US/Canada City, State and Zip and non-US/Canada City			
621-635	X(15)	AN	CITY; US/Canada addresses only
636-637	X(02)	AN	STATE; US/Canada addresses only; see Appendix Q for values
638-652	X(15)	AN	ZIP/POSTAL CODE; US/Canada addresses only
621-652	X(32)	AN	NON-US/CANADA CITY; non-US or Canada addresses only; free-form
653-654	X(02)	AN	COUNTRY CODE; see Appendix Q for values
655-704	X(50)	AN	BENEFICIARY E-MAIL ADDRESS, effective Q1 2022
705-749	X(45)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record U

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD V: BENEFICIARY TRUSTEE INFORMATION CONTINUED; FOR TRUST BENEFICIARY RELATIONSHIP

POSITION	PICTURE	TYPE	DESCRIPTION
RECORD V: BENEFICIARY TRUSTEE INFORMATION CONTINUED; FOR TRUST BENEFICIARY RELATIONSHIP
001-002	X(02)	AN	TRANSACTION CODE = "CI"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "V"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-038	X(10)	AN	ACCOUNT SHORT NAME
039-040	X(02)	AN	Not Used
			TRUSTEE INFORMATION; when Beneficiary Relationship = "T"
041-041	X(01)	AN	BENEFICIARY TRUST TRANSACTION CODE FOR RECORD V; see Record U position 329 for values
			BENEFICIARY TRUSTEE (2) NAME INFORMATION
042-042	X(01)	AN	BENEFICIARY TRUSTEE (2) NAME TYPE CODE; see Record U position 330 for values
043-074	X(32)	AN	BENEFICIARY TRUSTEE (2) PREFIX/ENTITY LINE 1; see Record U position 331-362 for field logic and values
075-106	X(32)	AN	BENEFICIARY TRUSTEE (2) FIRST NAME/ENTITY LINE 2; see Record U position 363-394 for field logic
107-138	X(32)	AN	BENEFICIARY TRUSTEE (2) MIDDLE INITIAL/NAME/ ENTITY LINE 3; see Record U position 395-426 for field logic
139-170	X(32)	AN	BENEFICIARY TRUSTEE (2) LAST NAME/ENTITY LINE 4; see Record U position 427-458 for field logic
			BENEFICIARY TRUSTEE (3) NAME INFORMATION
171-171	X(01)	AN	BENEFICIARY TRUSTEE (3) NAME TYPE CODE; see position 042 for values
172-203	X(32)	AN	BENEFICIARY TRUSTEE (3) PREFIX/ENTITY LINE 1; see Record U position 331-362 for field logic and values
204-235	X(32)	AN	BENEFICIARY TRUSTEE (3) FIRST NAME/ENTITY LINE 2; see Record U position 363-394 for field logic
236-267	X(32)	AN	BENEFICIARY TRUSTEE (3) MIDDLE INITIAL/NAME/ ENTITY LINE 3; see Record U position 395-426 for field logic
268-299	X(32)	AN	BENEFICIARY TRUSTEE NAME (3) LAST NAME/ ENTITY LINE 4; see Record U position 427-458 for field logic
			BENEFICIARY TRUSTEE (4) NAME INFORMATION
300-300	X(01)	AN	BENEFICIARY TRUSTEE (4) NAME TYPE CODE; see position 042 for values
301-332	X(32)	AN	BENEFICIARY TRUSTEE (4) PREFIX/ENTITY LINE 1; see Record U position 331-362 for field logic and values
333-364	X(32)	AN	BENEFICIARY TRUSTEE (4) FIRST NAME/ENTITY LINE 2; see Record U position 363-394 for field logic

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
365-396	X(32)	AN	BENEFICIARY TRUSTEE (4) MIDDLE INITIAL/NAME/ ENTITY LINE 3; see Record U position 395-426 for field logic
397-428	X(32)	AN	BENEFICIARY TRUSTEE (4) LAST NAME/ENTITY LINE 4; see Record U position 427-458 for field logic
			BENEFICIARY TRUSTEE (5) NAME INFORMATION
429-429	X(01)	AN	BENEFICIARY TRUSTEE (5) NAME TYPE CODE; see position 042 for values
430-461	X(32)	AN	BENEFICIARY TRUSTEE (5) PREFIX/ENTITY LINE 1; see Record U position 331-362 for field logic and values
462-493	X(32)	AN	BENEFICIARY TRUSTEE (5) FIRST NAME/ENTITY LINE 2; see Record U position 363-394 for field logic
494-525	X(32)	AN	BENEFICIARY TRUSTEE (5) MIDDLE INITIAL/NAME/ ENTITY LINE 3; see Record U position 395-426 for field logic
526-557	X(32)	AN	BENEFICIARY TRUSTEE (5) LAST NAME/ENTITY LINE 4; see Record U position 427-458 for field logic
			BENEFICIARY TRUSTEE (6) NAME INFORMATION
558-558	X(01)	AN	BENEFICIARY TRUSTEE (6) NAME TYPE CODE; see position 042 for values
559-590	X(32)	AN	BENEFICIARY TRUSTEE (6) PREFIX/ENTITY LINE 1; see Record U position 331-362 for field logic and values
591-622	X(32)	AN	BENEFICIARY TRUSTEE (6) FIRST NAME/ENTITY LINE 2; see Record U position 363-394 for field logic
623-654	X(32)	AN	BENEFICIARY TRUSTEE (6) MIDDLE INITIAL/NAME/ ENTITY LINE 3; see Record U position 395-426 for field logic
655-686	X(32)	AN	BENEFICIARY TRUSTEE (6) LAST NAME/ENTITY LINE 4; see Record U position 427-458 for field logic
687-749	X(63)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record V

PERSHING STANDARD FILE LAYOUTS

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF ƀ ƀ ƀ ƀ ƀ PERSHING ƀ" (end of Pershing file)
019-036	X(18)	AN	Literally "CUSTOMER ƀ ACCT ƀ INFO"
037-046	X(10)	AN	Literally " ƀ DATA ƀ OF ƀ ƀ "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " ƀ TO ƀ REMOTE ƀ "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally " ƀ ENDS ƀ HERE. ƀ "
084-105	X(22)	AN	Literally "TOTAL ƀ DETAIL ƀ RECORDS: ƀ "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	REFRESHED or UPDATED; literally "REFRESHED" or "UPDATED ƀ ƀ "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record